

Equality Impact Assessment

Work programme 2018/19 - 2019/20



August 2018



Equality Impact Assessment form

Date of assessment
May 2018
Title of policy or practice (or decision) to be created (or changed)
The EIA covers the extent to which equalities issues are appropriately reflected in the content of 2018/19 - 2019/20 of the current PABV five year rolling work programme of performance audit
What is the policy or practice (or decision) intended for?
<p>The forward work programme covers all the performance audit work Audit Scotland carries out on behalf of the Auditor General for Scotland and the Accounts Commission. It is designed around Audit Scotland's role in providing independent assurance to the people of Scotland that public money is spent properly, efficiently and effectively. (It does not cover Best Value audits - an EIA of The New Approach to Auditing Best Value in Local Government was published in April 2017)</p> <p>Audit Scotland is committed to ensuring equalities is reflected through our audit work. One of the two equality outcomes set for the period 2017-19 is that audit work reflects how public services meet the diverse needs of all citizens and communities. To help meet this outcome, we need to ensure our performance audit work programme incorporates equality and diversity issues in an appropriate way.</p> <p>Audit Scotland published an EIA on the work programme for 2017/2018. This EIA is a refresh for the latest work programme for 2018/19 - 2019/20.</p> <p>The selection of audit topics for inclusion in the forward work programme is led by the three policy clusters within Audit Scotland's Performance Audit and Best Value Team (PABV)¹. It is informed by:</p> <ul style="list-style-type: none">• External stakeholder engagement (including with Audit Scotland's Equality and Human Rights Advisory Group (EHRAG))• Policy and intelligence monitoring• A six-monthly risk assessment exercise which is informed by: sector current issues reports; correspondence update reports. communications digests; hotlist reports; and key issues from policy cluster briefings• Ongoing programme development activity

¹ These are: Health, Care and Communities (HCC), Justice, Education and Life-long Learning (JELL), Public Finances, Investment and Economic Development (PIE).

- Feedback from the Auditor General for Scotland and the Accounts Commission on the six-monthly briefings they receive from each the three policy clusters which include specific consideration of current equality-related audit issues in that policy area.

This range of intelligence informs the risk register which identifies the audit risk, level of risk and the associated audit dimension (financial sustainability, financial management, governance and transparency or value for money) across the public sector. The risk register captures our response to this risk and informs whether we will propose carrying out a piece of audit work on this.

Equalities and Human Rights is a key cross-cutting theme which is considered and reported on during each annual work programme refresh exercise.

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

Audit Scotland audits the accounts of 310 public bodies in Scotland. We also undertake a wide range of performance audit, overview, Best Value audit and statutory reports (Section 102 (local government or Section 22 (central government) across the whole of the public sector.

A wide range of audit work is carried out and it covers a significant number of public bodies in Scotland, many of which provide services directly to the public. Those bodies need to ensure that their services meet the needs of the individuals who make up Scotland's diverse population and that when they plan and deliver services they are meeting their various equality duties. Our risk-based programme of performance audits (which is the central topic of interest in this EIA), alongside our programme of Best Value audit work are the main means through which assess how well public bodies are reflecting equality and human rights in their service planning and delivery.

A number of future audits could have an impact on the protected characteristic groups, the detail of exactly which groups and in what way, will be considered in more depth as audits are scoped.

The two main ways the protected characteristics groups are likely to be impacted by our work are:

- As stakeholders, for example service users, employees etc. We can involve them in our work through a range of ways such as member of the advisory group, participating in focus groups, interviews, surveys or through data analysis
- Groups impacted by the outcome of our work and recommendations that we make. This is an opportunity for us to make a positive impact on protected characteristic groups.

The nine characteristics protected under the Equality Act 2010 are:

- age
- disability
- gender reassignment
- marriage and civil partnership
- pregnancy and maternity
- race
- religion or belief
- sex
- sexual orientation

Did you need to obtain further information? If yes, how did you do that?

Two sources of information were used:

- The risk-based work programme refresh proposals prepared by the three policy clusters within Audit Scotland's Performance Audit and Best Value Team (PABV). Each cluster routinely considers how equalities relate to their particular areas of policy interest. Where appropriate, specific equality-related issues are highlighted in their six-monthly briefings for the Auditor General for Scotland and the Accounts Commission. Equalities and Human Rights is also a key cross-cutting theme which is considered and reported on during each annual work programme refresh exercise.
[Auditor General for Scotland and Accounts Commission rolling programme refresh: 2018/19-2022/23](#)
- The input of Audit Scotland's Equalities and Human Rights Advisory Group (EHRAG). This group acts as a sounding board on relevant equalities and human rights issues, to raise relevant issues and to be an information resource. The advisory group comprises organisations that represent people in Scotland with protected characteristics. In February 2018, the group discussed equalities and human rights issues relevant to the current work programme.

Please summarise the relevant evidence you considered.

The EHRAG provided us with feedback to help us identify any equalities and human rights issues we may want to consider when carrying out the audits on the forward work programme. We shall be using this feedback when at the scoping stage of the individual performance audits.

Members of the EHRAG highlighted equalities and human rights issues on a number of audits on the work programme for 2018/19 - 2019/20, particularly:

- ALEOS
- Children and Mental Health Services,
- Community Assets,
- Broadband/ Digital,
- Educational Outcomes,
- Social Security/Scotland's New Financial Powers,
- Housing,
- Infrastructure projects,
- Health and Social Care

See Appendix 1.

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

Our work has the potential to have a positive impact on people with protected characteristics by:

- considering their perspective on issues when undertaking our audit work and making recommendations to public bodies on how services might be better designed and delivered to improve the service experience and outcomes for specific groups and communities
- identifying and promoting equality-related good practices which can be shared to improve policy making and service delivery
- supporting the Accounts Commission and the Scottish Parliament in holding policy-makers and public bodies to account for the progress they are making in embedding equality and human rights in policy making and service delivery to address Scotland's equality-related outcome gap.

To be able to do this we need to ensure that we are taking equality related issues into account when scoping our work and ensuring that the needs and interests of protected characteristic groups that could be impacted or involved in the issues we are looking at are appropriately reflected in our audit activity and approaches.

For internal purposes we have documented our consideration of equalities issues so far identified for performance audits in the forward work programme. This will be subject to further consideration at the time of scoping the detail of each performance audit.

What will you do now?

Our initial consultation with the EHRAG has highlighted a range of potential areas of equality-related work which we will now need to give further consideration to as we implement the 2018/19 - 2019/20 work programme.

- We will progress with delivering the audits identified in the current work programme, which we are assured, through our consultation process, have the potential to ensure we are mainstreaming equality outcomes in our work.
- We will ensure equalities issues are considered at the early stages of drafting audit scopes for individual audits to identify how the audit might impact protected characteristic groups and whether there is any equality focussed work we should consider adding. Audit teams will make sure that equalities are fully taken into consideration throughout all parts of the audit process by making use of the equality and diversity prompts that have been added to each stage of the audit management framework. Audit teams are required to produce an equalities scoping note which outlines how they have considered equality issues relevant to the audit, whether equalities issues will be part of the scope of the audit and, if so, what kind of further work will be undertaken.
- We will continue to ensure equalities issues are considered when developing the rolling work programme in future years by engaging with the EHRAG and refreshing this EIA accordingly.

Date 31 August 2018

Signature A Clark

Appendix 1

In the table below each piece of audit work currently scheduled for the next two years is listed, along with a brief summary of the expected scope of the work and equalities issues that have been identified by the EHRAG

Audit	Summary of potential equalities / human rights issues
ALEOs	<ul style="list-style-type: none"> • Equalities obligations and extent to which they are being met <p>This audit was already well advanced at the time of our discussions with DESG, with the audit report published on 17 May 2018. This means that it was not possible to expand the coverage of equalities issues within it.</p>
Children and young people's mental health (CYPMH)	<ul style="list-style-type: none"> • Not all children have access to mental health services - excluded groups • Provision of services for BME children and extent to which it meets needs <p>Human rights - Right to Health</p> <p>This audit is at a very advanced stage, with the audit report due to be published on 13 September. This means there is limited scope to expand the coverage of equalities issues within it. However, post-publication we will explore with DESG what equality-related issues it thinks are relevant when planning and delivering services for groups with protected characteristics and broader NHS equalities and human rights related issues in our future audit work in this sector.</p>
Community Assets	<ul style="list-style-type: none"> • Extent to which those most excluded / discriminated against are engaged with • Building capacity and understanding of community empowerment amongst people with protected characteristics <p>We have an ongoing audit interest in the wider issue of Community Empowerment which encompasses a range of equality-related issues. In particular, socio-economic disadvantage and the outcome gap that exists amongst many different communities in Scotland (both geographic and communities of interest). This means that there may be opportunities to embed equalities and human rights within both our programme development activity and audit work in this area.</p>
Broadband update Digital progress in central government and health (reporting early 19/20) Digital progress in local government (reporting early 2020/21)	<ul style="list-style-type: none"> • Extent to which people with protected characteristics can or cannot access services or participate <p>The broadband update audit is at a very advanced stage, with the audit report due to be published on 20 September. This means there is limited scope to expand the coverage of equalities issues within it.</p> <p>However, we will be considering equity and access issues associated with digital service delivery as part of our longer-term programme of digital auditing work.</p>
Audit	Summary of potential equalities / human rights issues
Educational outcomes	<ul style="list-style-type: none"> • Impact of different funds such as pupil equity fund • Outcomes across different protected characteristics

	<ul style="list-style-type: none"> Engaging with pupils with different protected characteristics (e.g. disability, gender reassignment or sexual orientation) <p>This audit has the potential to address a number of equality and human rights-related issues as set out above. These will be considered during the scoping phase of the audit and incorporated as appropriate.</p>
Social Security	<ul style="list-style-type: none"> Human Rights - Right to Social Security <p>We will engage with the Scottish Human Rights Commission during the scoping phase of this audit to consider the appropriateness or otherwise of incorporating this issue as an area of focus in the proposed audit work.</p>
Housing	<ul style="list-style-type: none"> Homelessness Capacity building Health and wellbeing outcomes Improving outcomes for people with protected characteristics Responding to community engagement / feedback <p>This audit has the potential to address a number of equality and human rights-related issues as set out above. These will be considered during the scoping phase of the audit and incorporated as appropriate.</p>
Infrastructure projects	<ul style="list-style-type: none"> Equality impact assessments <p>During 2018 we will give further consideration to the most appropriate approach to considering equality and human rights based issues in complex technical audits that focus on major infrastructure projects.</p>
Health & social care integration: Part 2	<ul style="list-style-type: none"> Extent to which the Human Rights Framework is being met for example mental health <p>This audit is at a very advanced stage, with the audit report due to be published on 15 November. This means there is limited scope to expand the coverage of equalities issues within it. However, as with the CYPMH audit, post-publication we will explore with DESG what equality-related issues it thinks are relevant when planning and delivering services for groups with protected characteristics and broader NHS equalities and human rights related issues in our future audit work in this sector.</p>