AUDIT SCOTLAND

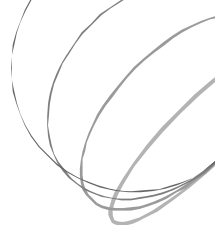# Equality Impact Assessment in Audit Scotland

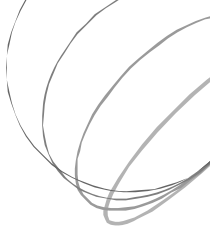**Corporate Quality Framework**

Audit Scotland Equality Impact Assessment

Policy Title[1]	Audit Scotland Corporate Quality Framework
Strategic Outcome	Set out the high level principles that are adopted by Audit Scotland in carrying out its work for the Auditor General and the Accounts Commission.
Directorate	Audit Strategy
We have completed the equality impact assessment for this policy.	Name: John Gilchrist Position: Manager (Audit Strategy) Date: 08/03/11
Approval by Director on behalf of Business Group Management Team	Name: Russell Frith Position: Director of Audit Strategy Date: 16/03/11
Sign off by the Diversity & Equality Steering Group (DESG) Chair on behalf of the DESG members	Name: Angela Canning Date: 28 March 2011

Once the EQIA documentation has been completed and signed off arrangements will be made by the Diversity & Equality Steering Group and communications team to publish the EqIA on Audit Scotland's website.
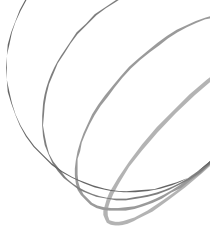
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[1] Throughout this documentation we use the word **POLICY** to mean any activity, function, strategy, programme, service or process which is being considered for Impact Assessment.

Step 1: Define the aims of the policy

Title of policy	Audit Scotland Corporate Quality Framework
Strategic Outcome	Set out the high level principles that are adopted by Audit Scotland in carrying out its work for the Auditor General and the Accounts Commission.
Directorate	Audit Strategy

What is the purpose of the proposed policy (or changes to be made to the policy)?	Quality is a key factor in describing the ways in which we work and the outputs and outcomes from that work. It is therefore important that our staff and partners understand what is expected of them and that we have a clear framework to communicate those expectations. This Framework is designed to set out the high level principles that are adopted by Audit Scotland in carrying out its work for the Auditor General and the Accounts Commission. The principles of the framework apply equally to all of our work and all of our staff although the way in which they are implemented in practice will vary between Business Groups and according to the type of work being undertaken. Whilst the focus of this framework and the reporting under it is on the direct work of auditors the principles are equally relevant to the conduct of support activities.
Who is affected by the policy or who is intended to benefit from the proposed policy and how?	The staff of Audit Scotland are directly affected. As part of the audit process, a secondary group affected is the staff of the audited bodies.
How have you, or will you, put the policy into practice, and who is or will be responsible for delivering it?	The policy sets at three different levels the arrangements that will be put in place, and the different responsibilities for those tasks.

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	Getting it right first time puts responsibility on all staff within Audit Scotland. Quality control is the responsibility of each business group. Quality monitoring and review is also the responsibility of each business group.
How does the policy fit into our wider or related policy initiatives?	The quality framework links to other Audit Scotland policies and initiatives such as the Project Management Framework, the Audit Guide, the Performance Audit Manual, the Performance Audit Standards, and the Corporate plan.
Do you have a set budget for this work?	No – this work is carried out as part of all business groups' establishment.

Step 2: What do you already know about the diverse needs and/or experiences of your target audience?

Do you have information on				
Age	Yes	✓	No	
Disability	Yes	✓	No	
Gender	Yes	✓	No	
Lesbian, Gay, Bisexual & Transgender	Yes	✓	No	
Race	Yes	✓	No	
Religion and Belief	Yes	✓	No	

	Primary group – Audit Scotland Staff	Secondary group – staff of audited bodies
Age	Evidence: (Audit Scotland Equality Annual Review, June 2010) Consultation – N/A	Evidence: The wide number of audited bodies makes it impractical to obtain information from each body. As such, the working age population of Scotland will be used as a proxy for the relevant statistics. People in employment in Scotland (08/09): (Annual Population Survey July 2008 – June 2009, ONS) Audit Strategy is the section that receives any complaints by audited bodies, and none have been received related to age. In addition, the biennial audit quality surveys include space for free remarks and none have been made related to age discrimination. Consultation – N/A

Primary group table:

Age	16-25	25-34	35-49	50+
No	11	81	131	79
%	3.6	26.8	43.4	26.2

Secondary group table:

Age	16-25	25-34	35-49	50+
%	15.2	20.9	39.2	24.6

Disability	Evidence: 14 individuals with a disability (4.6% of all staff) *(Audit Scotland Equality Annual Review, June 2010)* Consultation/Involvement – N/A	Evidence: Estimates for the Scottish public sector are not available without undue work; therefore the national figures will be used as a proxy: Scotland is estimated to have 1 million disabled adults likely to be covered by the Disability Discrimination Act - about 20% of the population *(Disability in Scotland 2004, The Disability Rights Commission).* Consultation/Involvement – N/A
Gender	Evidence: 49% Male; 51% Female *(Audit Scotland Equality Annual Review, June 2010)* Consultation – N/A	Evidence: Estimates for the Scottish public sector are not available without undue work; therefore the national figures will be used as a proxy: The level of people in employment by gender is 51.4% Male and 48.6% Female *(Annual Population Survey October 2007 – September 2008, ONS).* Consultation – N/A
Lesbian, Gay, Bisexual & Trans-gender	Evidence: 5.5 per cent of staff identified themselves as gay, lesbian or bisexual. Eleven per cent of respondents chose the option 'prefer not to say'. No respondents identified themselves as transgender. *(Audit Scotland staff survey (September 2009))* Consultation – N/A	Evidence: Estimates for the Scottish public sector are not available without undue work; therefore the national figures will be used as a proxy: There are estimated to be around 300,000 gay people in Scotland, 6% of the population *(Stonewall Scotland, 2009)* No complaints have been received; therefore no further action will be undertaken beyond continued monitoring. Consultation – N/A

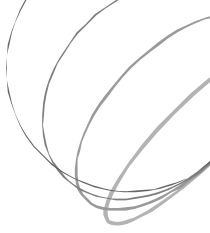|		
Race	Evidence: 98.3% White; 1.7% Minority Ethnic *(Audit Scotland Equality Annual Review, June 2010)* Consultation – N/A	Evidence: Estimates for the Scottish public sector are not available without undue work; therefore the national figures will be used as a proxy: The ethnicity of Scottish working age population is 96.6% White and 3.3% Minority ethnic. Consultation – N/A
Religion and Belief	Evidence: 44% of staff stated that they did not have a religion or faith. Ten per cent of respondents chose the option 'prefer not to say'. *(Audit Scotland staff survey (September 2009))* Consultation – N/A	Evidence: Estimates for the Scottish public sector are not available without undue work; therefore the national figures will be used as a proxy: 67%of the Scottish population report currently having a religion. 65% of people said that their religion was Christian, 42% Church of Scotland, 16% Roman Catholics and 7% Other Christian. After Christianity, Islam was the most common faith with 42,600 thousand people in Scotland describing their religion as Muslim. *(GRO, 2001 Census).* Consultation – N/A
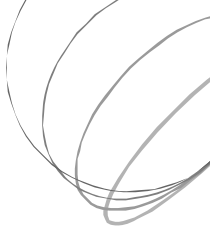
Step 3: Do you have enough information to help you understand the diverse needs and/or experiences of your target audience?

If not, what else do you need to know?

Age	Do you have enough information to proceed?	<u>Yes</u>	No
Disability	Do you have enough information to proceed?	<u>Yes</u>	No
Gender	Do you have enough information to proceed?	<u>Yes</u>	No
Lesbian, gay, bisexual and transgender	Do you have enough information to proceed?	<u>Yes</u>	No
Race	Do you have enough information to proceed?	<u>Yes</u>	No
Religion and Belief	Do you have enough information to proceed?	<u>Yes</u>	No

Step 4: What does the information you have tell you about how this policy might impact positively or negatively on the different groups within the target audience?

Age	Negatively – No evidence to suggest there is any negative impact.
Disability	
Gender	Positively – The quality framework aims to ensure that all work is carried out to a high quality; this includes consideration of equalities responsibilities for all relevant strands of work.
Lesbian, Gay, Bisexual & Transgender	
Race	
Religion and Belief	

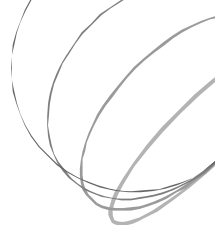## Step 5: Will you be making any changes to your policy?

Are there any changes?				
Age	Yes		No	✓
Disability	Yes		No	✓
Gender	Yes		No	✓
Lesbian, Gay, Bisexual & Transgender	Yes		No	✓
Race	Yes		No	✓
Religion and Belief	Yes		No	✓

No further work proposed – each business group as part of their responsibilities under the corporate quality framework is responsible for maintaining their arrangements. Any changes to the arrangements would be captured and reported in the annual quality report.

Step 6: Does your policy provide the opportunity to promote equality of opportunity or good relations by altering the policy or working with others?

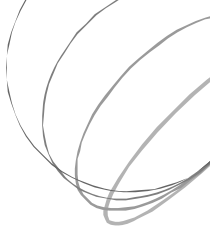| Age	Yes	✓	No	
Disability	Yes	✓	No	
Gender	Yes	✓	No	
Lesbian, Gay, Bisexual & Transgender	Yes	✓	No	
Race	Yes	✓	No	
Religion and Belief	Yes	✓	No	

Age	Including equalities within each business groups' individual quality arrangements will ensure that consideration of equalities is a fundamental part of their work. This should allow the promotion of equalities where that is relevant, and the equal treatment of all involved.
Disability	
Gender	
Lesbian, Gay, Bisexual & Transgender	
Race	
Religion and Belief	

Step 7: Based on the work you have done - rate the level of relevance of your policy

Tick one box for each strand

	Age	Disability	Gender	LGBT	Religion and belief	Race
High: ▪ There is substantial evidence that people from different groups or communities are (or could be) differently affected by the policy (positively or negatively) ▪ There is substantial public concern about the policy, or concerns have been raised about the policy's potential impact by relevant bodies ▪ The policy is relevant to all or part of the respective general duty, in the case of race, disability and gender.						
Medium: ▪ There is some evidence that people from different groups or communities are (or could be) differently affected (positively or negatively). ▪ There is some public concern about the policy. ▪ The policy is relevant to parts of the respective general duty, in the case of race, disability and gender.						
Low: ▪ There is little or no evidence that some people from different groups or communities are (or could be) differently affected (positively or negatively). ▪ There is little or no evidence of public concern about the policy. ▪ The policy has little or no relevance to the respective general duty, in the case of race, disability and gender.	✓	✓	✓	✓	✓	✓
Unknown: ▪ No evidence or data has been collected therefore an assessment cannot be made.						

Step 8: Is a further impact assessment required?

Age	Yes		No	✓
Disability	Yes		No	✓
Gender	Yes		No	✓
Lesbian, Gay, Bisexual & Transgender	Yes		No	✓
Race	Yes		No	✓
Religion and Belief	Yes		No	✓

<u>If you have answered no please explain why</u>

The Corporate Quality Framework sets out the responsibility of each business group in terms of maintaining their own arrangements. These have, or will have (where relevant) carried out equality impact assessments on their own strands of work.

Step 9: Explain how you will monitor and evaluate this policy/function or strategy to measure progress?

Please explain how monitoring will be undertaken, when it will take place and who is responsible for undertaking it:

The annual quality report will capture any changes in the arrangements at business group levels. This report will be prepared in May/June each year, covering the previous financial year.

Step 10: Summary of improvements, outcomes and impact

Please summarise in no more than 200 words the nature of the policy and main improvements, outcomes and impact as a result of this review - this will be published on Audit Scotland's web site and the full EqIA will be made available to interested parties if requested.

The Corporate Quality Framework sets out the high level principles that are adopted by Audit Scotland in carrying out its work for the Auditor General and the Accounts Commission. The principles of the framework apply equally to all of our work and all of our staff although the way in which they are implemented in practice will vary between Business Groups and according to the type of work being undertaken. Whilst the focus of this framework and the reporting under it is on the direct work of auditors the principles are equally relevant to the conduct of support activities.

Each business group, as part of their responsibilities under the corporate quality framework, is responsible for maintaining their arrangements. Any changes to the arrangements would be captured and reported in the annual quality report.