Reviewing the Effectiveness of Section 75 of the Northern Ireland Act 1998

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Foreword

The decision to introduce Section 75 and its related provisions into the Northern Ireland Act 1998 was an innovative and imaginative approach to the development and implementation of public policy. Its ambition was to facilitate the making of more effective policies and, at the same time, to offer people an opportunity to contribute to the policy-making and evaluating process.

The Equality Commission was charged with a number of responsibilities in respect of the new arrangements. Not least of these was the task of keeping the effectiveness of Section 75 under review. That the Commission has done on a continuous basis since its inception, but it was decided a couple of years ago that a comprehensive review would be of benefit. This report is the culmination of that long but fruitful process.

Independent research was commissioned and the views of public authorities were canvassed. There was much contact with voluntary and community organisations and opportunities were offered, and availed of, to hear the voices of individuals across Northern Ireland. The initial report was subject to detailed analysis and public consultation. Throughout the entire process, the Commission drew on its own comprehensive experience of the operation of Section 75 and the five year reviews of equality schemes undertaken by public authorities. I offer thanks to all who contributed, in any way, to the consideration of this important issue.

This final report is being published when opportunities have opened up for Northern Ireland with the return of devolved Government. New approaches to policy priorities; new expectations on the part of the people; new dynamics in the composition of the population – all give opportunities to realise the intention of this important legislative discipline. Here is a chance for public authorities to give real leadership, to embed the principles of equality of opportunity and good relations in their work. Here, too, is the opportunity for the public to engage with the process of policy-making, to avail of Section 75 as a constructive, positive means of influencing the world in which they will live.
And here, also, is both opportunity and challenge for the Commission. Opportunity to show the way towards realising what the Statute intended, demonstrating that Section 75 is a mechanism with enormous potential, not a threat; challenge to ensure that its own processes and approaches adapt to the needs of the time and that the public know what the Section offers them.

Section 75 has much to offer Northern Ireland, its Government, its public authorities and its people. The task for all is to seize the opportunity.

Bob Collins
Chief Commissioner
November 2008
Executive summary

Section 75 was intended to be transformative; to change the practices of government and public authorities so that equality of opportunity and good relations are central to policy making and implementation. It formalised the role of the public sector in their promotion and ultimately was aimed at improving lives. In carrying out this strategic review, the Commission assessed the effectiveness of the legislation in terms of its impacts and outcomes on individuals.

Section 75 has been effective in a number of key areas. Over a relatively short period it has effected substantial change in how policy is made. The result is more informed and evidence-based policy that reflects the needs of individuals, in terms of equality of opportunity and good relations. Effective consultation has been a particular success, giving rise to an inclusive policy making process.

However, there is less evidence that the legislation has had the intended impacts and outcomes for individuals. A shift in gear now needs to take place within public authorities; away from concentrating primarily on the process of implementing Section 75, towards achieving outcomes. The Commission has made a series of conclusions and recommendations below for change to re-direct energies to the duties to promote equality of opportunity and good relations. It is the Commission’s view that the changes proposed should be allowed to have effect before consideration is given to amending this relatively new piece of legislation. It is hoped that this report will encourage debate and inform the strategic direction of Section 75 in the coming years.

Action to achieve outcomes

Successfully to meet the objectives or intentions of the legislation, public authorities should consider their individual roles in the promotion of equality of opportunity and good relations. This should be done by authorities taking a systematic approach to examining their functions, and how these relate to the promotion of equality of opportunity and good relations. They should outline actions for the promotion of equality of opportunity and good relations, in the context of their functions and policies. These actions should be based on an analysis of the
inequalities that exist in society and of the experience of inequality amongst those affected by the organisations functions.

Future guidance from the Commission will require public authorities to include, within their equality schemes, actions that require a particular focus in that public authority to promote equality of opportunity and good relations, targeting particular areas. There should be read across with corporate plans so that promoting equality of opportunity and good relations is central to the business of the organisation. Actions should be linked to the outcomes that public authorities wish to achieve, with targets set to measure progress in achieving these outcomes.

One of the main priorities for public authorities in the coming years should be to measure the impact of these actions on individuals. This will enable the Commission to more effectively measure the overall impact of the legislation in the future. The Commission recommends that work is undertaken by government to develop baseline data and indicators to help public authorities to identify and measure outcomes. This would include data to allow comparisons of the potential impact of the legislation across the categories and would help identify any categories not sufficiently benefiting from the legislation.

**Equality schemes**

Equality schemes have been recognised as an effective framework within which public authorities work to meet their equality and good relations obligations. However, changes are required to ensure that schemes reflect the corporate planning cycle with public authorities and to enhance their flexibility as working documents. Commission guidance will be amended to allow for changes to be made to a scheme within its lifetime. The guidance will also be amended to permit public authorities to develop equality schemes for a period of three years. The aim is that the timeframe for a scheme coincides with the timeframes for corporate plans and disability action plans\(^1\). Guidance will also recommend that scheme reviews take place every three years, and no less often than every five, as required by the legislation. The Commission will work with the Equality and Human Rights Commission (EHRC) in Britain, to agree a streamlined approach to reporting progress on equality scheme implementation, to reduce duplication of work, and enhance the

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\(^1\) Section 49(1) of the Disability Discrimination Act 1995.
effectiveness of progress reporting for UK public authorities. The Commission will work closely with OFMdFM in the development of guidance on equality schemes to manage the development, implementation and measurement of actions to promote equality of opportunity and good relations. The Commission aims to ensure coherence between equality schemes and actions committed to under cross-departmental strategies such as the Programme of Cohesion Sharing and Integration for a shared and better future.2

Mainstreaming equality of opportunity in public policy

The process of mainstreaming equality of opportunity in public policy should be streamlined. The emphasis should be on prioritising policies to promote equality of opportunity, assessing the impact of policies, engaging in effective consultation, and robust monitoring.

The Commission will make changes to the policy appraisal process to maximise the opportunities provided by Section 75 to promote equality of opportunity and good relations. The Commission’s guidance on screening for proposed policies will be amended to make screening a more efficient and effective ‘filter’ in early identification of equality considerations, thus allowing public authorities quickly to see whether a policy is pertinent for the promotion of equality of opportunity and good relations. The Equality Impact Assessment (EQIA) process should continue to be the primary method of assessing the impact of policies on equality of opportunity and good relations, with public authorities carrying out impact assessment as they develop policies rather than afterwards.

Given the potential impact of ‘high level’ policies or strategies on equality of opportunity and good relations, visible evidence of screening and equality impact assessment by government departments in this area is required. The Commission will, as a matter of priority, provide targeted and detailed advice across government departments to promote clarity on an approach to equality impact assessment of high level policies.

Future improvements to the consultation process must ensure that public authorities seek the views of the public and those directly affected by the policy, rather than focusing wholly on representative

2 OFMdFM are developing proposals for this programme to build on government strategies; A Shared Future and Race Equality Strategy.
organisations. Consultation should also ensure a more effective assessment of the impact of policies, better reporting of the impact of consultation on policy outcomes, encourage a greater emphasis on targeted consultation and a wider range of consultation mechanisms used. Generally, a fresh approach to consultation is required to ensure it achieves its aims; i.e. hearing views on the likely impact of policies.

The Commission’s role

The Commission has a critical role in ensuring the effectiveness of the legislation. This is done through the provision of advice, monitoring and reporting on compliance and by investigating alleged breaches of schemes. The focus of the Commission’s advice in the early years was aimed at supporting public authorities in understanding and implementing the new duties. Given the relative familiarity with the duties among public authorities, the Commission’s attention will turn to sharing practice and providing accessible advice to the public and others so that they better understand their potential impact on people’s lives and they know of their right of redress where an authority breaches its equality scheme.

Promotion of the duties in the coming years is critical. The Commission considers the promotion of the Section 75 duties as an integral element of its continuum of powers and duties, from advice through to monitoring and enforcement of the duties. On that basis, the Commission intends to focus on promotion of the equality and good relations duties, with the aim of increasing public awareness of Section 75. By outlining the benefits the duties should achieve, it is hoped to ensure public authorities identify more effectively the inequalities that exist and introduce policies to better promote equality of opportunity.

The Commission will review its current procedures to ensure its advice to individuals and organisations is fully accessible. It will, as a matter of priority, work with public authorities to ensure compliance with the duties regarding issues of accessibility.

The Commission will monitor and enforce compliance in a more strategic way, by establishing a standard or ‘baseline’ of compliance. This will provide clarity for public authorities and others on required practice. It will help public authorities to monitor their own compliance while the
Commission will more effectively audit the information on progress received from public authorities. Our aim will be to ensure compliance, improve practice over time and identify potential breaches more effectively. The Commission has also concluded that work is required to enhance the timeliness of Commission intervention regarding enforcement of the duties and a range of issues will be considered to ensure interventions are more timely and effective.

**Promoting good relations**

The duty to promote good relations among public authorities must be a priority in the coming years. Enhancing implementation of the legislation has the capacity to ensure the interdependence of equality of opportunity and good relations. For now, this approach is preferable to a change in the law.

In the context of the Commission’s statutory remit on good relations, the Commission recommends to government that the Commission’s duties under Article 42 of the Race Relations (NI) Order 1997 to promote equality of opportunity and good relations between people of different racial groups apply also in respect of other Section 75 categories. This would reflect the new duties on the Equality and Human Rights Commission in Britain.

**The roles of the voluntary and community sectors**

The roles of the voluntary and community sectors in contributing to the policy making process and in raising awareness of the legislation are critical. However, work is required to ensure that organisations, particularly at community level, have the capacity to engage with Section 75. To ensure a consistent level of awareness across the sectors, larger voluntary organisations should play a greater role in raising awareness of Section 75 among small voluntary and community organisations. The sectors should also build a more effective approach to co-ordination, to maximise the opportunities presented by Section 75 in terms of influencing public policy outcomes.

The Commission will consider further its role in the promotion of the duties, by working with public authorities and the voluntary and community sectors to ensure sufficient capacity amongst individuals and organisations who wish to engage with the process.
Cultural and institutional change

Further cultural and institutional change is required to enhance the effectiveness of the legislation. The role of government departments in driving change is critical; in particular, in driving compliance with the duties among public authorities which they sponsor. The Commission will specifically monitor the role of departments in doing so.

To ensure commitment to the principle of good relations by leaders across local government, the Commission recommends that training on equality and good relations is placed on a mandatory footing for all elected representatives, and that adherence to the principles of equality of opportunity and good relations is enshrined in Codes of Conduct.

The Section 75 categories

Public authorities are required to promote equality of opportunity and good relations in respect of particular categories. The review considered the potential for change to the legislation to include further categories. While there is a level of support for amendment to Section 75 to include other categories in the future, the general view from contributors to the review is that priority should be given to making the existing legislation more effective, rather than considering amendments at what is still considered a relatively early stage in the implementation of Section 75. The Commission will consider the extension of the equality of opportunity and good relations categories in the coming period of implementation of the duties.

Section 75 and the private sector

The pursuit of public policy in respect of equality of opportunity and good relations not only concerns the public sector. The effectiveness of Section 75 depends not just on how public authorities comply with the duties in direct provision of services, but on how they ensure the private sector, through public procurement, promotes equality of opportunity. The Commission considers that the Section 75 framework is sufficiently robust to ensure that equality of opportunity is at the heart of public sector procurement and is not, at this point, recommending that a specific obligation on public authorities with regard to procurement is required. Indeed, the Commission has produced guidance on equality
and sustainable development considerations in procurement, to support public authorities and others in this regard. This will be subject to ongoing scrutiny and review.

Summary of recommendations

- The Commission recommends that work is undertaken by government to develop baseline data and indicators to help public authorities to identify and measure outcomes. This would include data to allow comparisons of the potential impact of the legislation across the categories; and would help identify any categories not sufficiently benefiting from the legislation.

- The Commission’s future guidance will require public authorities to include, within their equality schemes, actions that require a particular focus in that public authority to promote equality of opportunity and good relations, targeting particular inequalities. There should be read across with corporate plans so that promoting equality of opportunity and good relations is central to the business of the organisation. They should be linked to the outcomes that public authorities wish to achieve, with targets set to measure progress in achieving these outcomes.

- Commission guidance will be amended to allow changes to be made to a scheme within its lifetime. Commission guidance will be amended to permit public authorities to develop equality schemes for a period of three years. The aim is that the timeframe for a scheme coincides with corporate plans and disability action plans. Guidance will also recommend that scheme reviews take place every three years and to meet the needs of the legislation, no less often than every five.

- The Commission will amend its approach to progress reporting to require public authorities to measure the impact of mainstreaming equality and good relations on policy outcomes.

- Given the potential impact of ‘high level’ policies or strategies on equality of opportunity and good relations, visible evidence of equality impact assessment by government departments in this area is required. The Commission will, as a matter of priority, provide targeted and detailed advice across government departments to promote clarity on an approach to the equality assessment of high-level policies.
The Commission will make changes to the policy appraisal process to maximise the opportunities provided by Section 75 to promote equality of opportunity and good relations. The Commission’s guidance on screening for proposed policies will be amended to produce a more efficient and effective ‘filter’ in early identification of equality considerations, thus allowing public authorities to quickly see whether a policy is pertinent for the promotion of equality of opportunity and good relations. The equality impact assessment process should continue to be the primary method of assessing the impact of policies on equality of opportunity and good relations, with public authorities carrying out impact assessment as they develop policies, rather than afterwards.

Future improvements to the consultation process must ensure that public authorities seek the views of the public and those directly affected by the policy, rather than focusing wholly on representative organisations. They should also ensure a more effective assessment of the impact of policies, better reporting of the impact of consultation on policy outcomes, encourage a greater emphasis on targeted consultation and the use of wider range of consultation mechanisms. Generally, a fresh approach to consultation is required to ensure it achieves its aims, that is, hearing views on the likely impact of policies.

The Commission will review its current procedures to ensure its advice to individuals and organisations is fully accessible.

The Commission will focus its advice provision on sharing practice among public authorities and ensuring a greater familiarity with the duties among individuals and organisations.

As part of a strategic approach to advice provision and to monitoring compliance, the Commission will establish a baseline or ‘standard’ of compliance. This will provide clarity for public authorities and others on required practice, help public authorities to monitor their own compliance, while also supporting public authorities to improve practice over time.

The Commission will require that public authorities report progress on the achievement of impacts and outcomes, requiring authorities to measure these over time.
- The Commission will work with the Equality and Human Rights Commission (EHRC), to agree a streamlined approach to progress reporting to reduce duplication of work and enhance the effectiveness of progress reporting for UK public authorities.

- The Commission will work closely with OFMdFM in the development of guidance on equality schemes to manage the development, implementation and measurement of actions to promote equality of opportunity and good relations. Guidance is intended to ensure effective coherence between equality schemes, and actions committed to under cross-departmental strategies, such as the Racial Equality Strategy\(^3\) and Gender Equality Strategy\(^4\) and the Programme of Cohesion, Sharing and Integration for a shared and better future.

- The Commission has concluded that work is required to enhance the timeliness of Commission intervention regarding enforcement of the Section 75 duties. The Commission will consider a range of issues to ensure its interventions are timely and effective.

- In the context of the Commission’s statutory remit on good relations, the Commission recommends to government that, the Commission’s duties under Article 42 of the Race Relations (NI) Order 1997 to promote equality of opportunity and good relations between people of different racial groups be extended to other Section 75 categories. This would reflect the new duties of the EHRC in Britain.

- To ensure visible commitment to the principle of good relations by leaders across local government the Commission recommends that training on equality and good relations is placed on a mandatory footing for all elected representatives, and that adherence to the principles of equality of opportunity and good relations are enshrined in Codes of Conduct.

- The Commission will consider further its role in the promotion of the duties, by working with public authorities and the voluntary and community sectors to ensure sufficient capacity amongst individuals and organisations who wish to engage with the process.

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The Commission will reflect the issues of leadership and embedding the duties in core business in a framework for compliance; it will assess the progress made by public authorities in meeting their duties according to measures taken in this area.

The Commission will specifically monitor the role of government departments in driving compliance with the duties by their associated public authorities.

The Commission considers the promotion of the Section 75 duties as an integral element of its continuum of powers and duties, from advice through to monitoring and enforcement of the duties. On that basis, the Commission will consider how best to focus on the promotion of the Section 75 duties, with two aims:
- to increase public awareness of Section 75, its benefits and what it should achieve;
- to ensure that public authorities identify the inequalities which exist, so as to enable them to introduce policies to promote equality of opportunity.

The Commission will remain proactive in ensuring all documents are available and advertised in different formats, as well as enforcing much more strongly the requirement on public authorities to reach out to all equality categories.

The Commission will consider the extension of the equality of opportunity and good relations categories in the coming period of implementation of the duties.

The Commission considers the Section 75 framework as sufficiently robust to ensure that equality of opportunity is at the heart of public sector procurement and is not, at this point, recommending that a separate specific statutory obligation on public authorities is required.

The Commission will monitor the impact of the proposed changes as part of its duty to review the effectiveness of the legislation. This will inform future consideration of changes to the legislation.
Section 75 of the Northern Ireland Act 1998 placed a duty on the Equality Commission for Northern Ireland to ‘keep under review the effectiveness of the duties imposed’\(^5\). The Commission launched its first strategic review of the effectiveness of Section 75 in 2006. Under the terms of reference for the review (contained in Annex One), the Commission assessed the effectiveness of the legislation in terms of the impacts it has had on individuals, and on the outcomes achieved.

Section 75 also placed a duty on public authorities to have due regard to the need to promote equality of opportunity on nine categories and regard to the desirability of promoting good relations on three categories\(^6\). All designated public authorities are required to produce equality schemes, setting out arrangements for assessing and consulting on the likely impact of their policies, and to monitor policies for the adverse impact. Over 210 public authorities are currently designated under Section 75 and are subject to the duties.

The Commission’s review of effectiveness of the legislation is timely, as it follows a self assessment by public authorities of progress in implementing the duties, five years after approval of their equality schemes. The review reports submitted by authorities to the Commission provided a wealth of information on progress and confirm the many positive effects that implementation of Section 75 has had since its commencement. It is the Commission’s view that Section 75 has effected substantial cultural change within the public sector, in a way that has brought equality of opportunity centre stage in the development of public policy. Public authorities recognise their role in the promotion of equality of opportunity and good relations and give much greater consideration to the impact of their policies on equality of opportunity and good relations. Section 75 has resulted in a new, more informed and more evidence-based approach to policy making and has led to a much more inclusive approach to policy making, whereby public authorities see the benefit of working with organisations and individuals in assessing the impact of their policies on equality of opportunity and good relations.

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6 Northern Ireland Act 1998, Section 75 (1).
However, this review was not intended to be an analysis of compliance with the legislation. A previous review of Section 75 (hereafter referred to as operational review 2004) considered ‘the operational arrangements which are in place for implementing the duty, particularly monitoring and enforcement mechanisms’\(^7\). The independent element of that review, carried out by Eithne McLaughlin and Neil Faris, considered issues emerging from implementation of the duties and provided a significant insight into factors affecting implementation, including compliance by public authorities. The review found a need for integration of the equality duty with policy formulation, for enhanced performance by public authorities and better methods of sharing practice, improved consultation and monitoring by public authorities and better communication of Section 75 to enhance its profile. It recommended particular matters to be discussed in this review of effectiveness. The terms of reference for this review and the conclusions and recommendations that have arisen, are informed by the outcomes of the operational review (2004).

While the operational review (2004) was a retrospective examination of implementation, in this review of the effectiveness of Section 75 the Commission makes a forward-looking assessment of the legislation, based on its impacts and outcomes, aimed at setting out a strategic direction for the coming years. It is the first systematic review of the effectiveness of Section 75, by the Commission, since commencement of the duties and many lessons have been learned for future implementation of the legislation.

There have been a number of stages to the review. The first stage focused on information gathering and research, including commissioning six independent research reports\(^8\) and analysis of public authority five-year equality scheme reviews and annual progress reports. The second stage involved engagement with key actors in the implementation of Section 75; public authorities, including the Northern Ireland Civil Service, the voluntary and community sectors, members of the public and Commission staff. The third stage comprised consideration of initial review outcomes and publication of a consultation report. Conducting an inclusive review was essential to ensure that review outcomes accurately reflect the impact of Section 75 and provide strategic direction for implementation of the legislation in the coming years.

\(^7\) ECNI: The Section 75 Equality Duty- Operational review: Terms of reference for the independent element of the review, 2004.

In May 2007, the Commission published a consultation report which included a series of conclusions and initial recommendations, informed by the view of individuals and organisations that had taken part in public engagement as part of the review, and by the findings of the six pieces of independent research\(^9\). The consultation report highlighted a number of key issues presented below, and which are treated in more detail throughout this final report.

- The effectiveness of Section 75 is dependent on its impact on the people it was designed to affect. The legislation was introduced to effect positive change in people’s lives, to transform the practices of government, to reduce and ultimately remove inequalities and to promote equality of opportunity and good relations. The priority for the future direction of Section 75 is to ensure that the legislation brings benefits in the policies that affect people and the public services they need and use.

- To that end, effective mechanisms are required that will lead to a better public understanding of the intended impacts and outcomes of Section 75 and of the fact that the duties were intended to create a positive approach to the achievement of equality of opportunity.

- However, to make the legislation relevant, and to bring about tangible benefits, the legislation must produce actual, as well as perceived, impacts and outcomes. In carrying out the review, the Commission encountered challenges associated with measuring the impacts of a progressive and ambitious piece of legislation. A framework is required to achieve and measure impacts and outcomes arising from the legislation. Some years into implementation, public policy does not sufficiently tackle the inequalities that exist within society. The reduction or removal of these inequalities should be a central goal of public policy.

- Equality of opportunity and good relations must be mainstreamed in the implementation, as well as the development, of public policy. While accessibility policies exist within a number of public authorities, materials published across the public sector often are not sufficiently accessible for disabled people, particularly people with learning difficulties and children and young people.

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9 The consultation report published in May 2007 and the six research reports can be found on the Commission’s website www.equalityni.org
Further work is required to ensure that the aims and objectives of screening and EQIA as a form of policy appraisal are fully understood and complied with and steps should be taken to ensure the process is open, streamlined and meets its objectives.

Good relations work appears to have featured to a lesser extent in the public authorities’ Section 75 activities than that of equality of opportunity. Public authority staff accepted a lack of knowledge among policy makers of good relations as a concept and of the duty itself. This may be attributable to the greater focus given to equality of opportunity in the early years of implementation of Section 75; or to the provisions in the legislation that only apply the good relations duty in relation to racial group, political opinion or religious belief, which has led to a perception that good relations is about ‘conflict resolution’.

Organisations across the voluntary and community sectors engage with Section 75 in different ways; in some instances, organisations work directly with public authorities to promote equality of opportunity and good relations in the practical implementation of policies, rather than contributing to the policy making process. Levels of capacity, skills and resources remain as factors affecting engagement by voluntary or community sector organisations.

The initial focus by the Commission to overseeing implementation by focusing on the provision of advice and on ‘getting the process right’ was the correct one; however, given the relative familiarity with the duties amongst public authorities, attention must now be turned to a more strategic approach to monitoring, ensuring compliance and use of the Commission’s enforcement powers.

Government departments continue to report challenges in assessing the equality implications of so-called ‘high level policies’; the Commission’s analysis of five year scheme reviews showed particularly poor practice in this area.

In a strategic sense, Section 75 relates to the operation of the overall system of governance in Northern Ireland10 and in that way, should be transformative. The institutional and cultural change brought about by

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Section 75 is impressive; however, the effectiveness of the legislation is dependent on this change being sustained over time.

Following publication of the consultation report, the Commission embarked on a consultation exercise to seek views on its conclusions and recommendations. In general, respondents were supportive of the Commission’s initial conclusion and recommendations, and the broad thrust of the report. Further details of the consultation process and the Section 75 Effectiveness Review Consultation Report can be found on the Commission’s website www.equalityni.org.

This report sets out conclusions reached by the Commission on a range of issues; informed by all the views heard throughout the process. The Commission has further drawn on other documents to support its analysis; a recent paper commissioned examining the challenges and opportunities for embedding good relations in local government and the reports contributing to the independent element of the 2004 Operational Review of Section 75. In a number of areas the report makes conclusions regarding changes to the Commission's approach to overseeing Section 75; in other areas it recommends changes to the interpretation or implementation of the duties by public authorities; in some cases it highlights findings of the need for changing practice within the voluntary and community sectors; and finally, it makes a number of recommendations to government to enhance the effectiveness of Section 75.

This final report brings the review to a close. The priority for the Commission, in the following period, is to work with public authorities and with other organisations and individuals to implement the conclusions and recommendations, to enhance the effectiveness of Section 75. With the return of devolution, there is a real opportunity for Government to mainstream equality of opportunity and good relations. Leadership within Government Departments will be the foundation on which wider progress on implementing Section 75 will be built. Details of the conclusions reached by the Commission on a range of issues are set out in Chapter 13.

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Section 75 - What is it meant to achieve?

Throughout the review, the Commission found overwhelming support for the principles of Section 75. Expectations of the achievements of Section 75 remain high. However, contributors to the review called for a debate on what Section 75 is actually meant to achieve, so that the intended impact of Section 75 does not become so broad as to be meaningless. This section sets out the Commission’s vision for the achievements of Section 75 and concludes that more energy must be focused on setting and measuring these achievements over time.

■ An active anticipatory duty

As with the establishment of the Commission itself, the introduction of Section 75 and its related provisions in the 1998 Act represent a statement of shared commitment by the Government and those involved in the Good Friday / Belfast Agreement to the centrality of equality considerations in the institutional arrangements of Northern Ireland. Section 75 underlines the role of the equality dimension in the discharge of their duties by every designated public authority, while inextricably linked to the related importance of good relations.

The focus on equality of opportunity is an important recognition of the fact that for very many people, barriers exist that prevent them from realising their full potential. Their capacity to avail of the opportunities for a full life is thereby diminished. The innovative dimension of Section 75 is that it proposes an active anticipatory duty to address these inequalities and in their place promote a broadly based equality of opportunity. Opportunity and outcomes are not disconnected, even if access to equal opportunity cannot guarantee equal outcomes. There are many other considerations at work that have an influence in this respect.
We know, however, that inequalities continue to exist in society and that they are often accompanied by, or are reflections of, stubborn inequalities in opportunity – not all of which are covered by the legislation. The comprehensive and faithful implementation of the intentions and requirements of Section 75 will do much to enhance the capacity of all who live in Northern Ireland more fully to enjoy what society offers. It will also recognise that securing equality of opportunity is not simply a process of treating everyone as identical but, of reflecting the underlying truth that different needs require different responses.

This is the context of the equality focus in the work of the Commission on Section 75 and is the background to the thrust in this document of the role of the Commission and of all public authorities in confronting inequalities in our society. It is also the fundamental building block on which good relations can be effectively and securely established.

An innovative approach to mainstreaming

The promotion of equality of opportunity and good relations and the application of mainstreaming approaches are not new; as Theresa Rees put it, ‘in a number of key regards’, Section 75 ‘is typical of the existing equality practices presently to be found around the globe’.

Discussions on the ‘perceived limitations of statutory anti-discrimination law’ in Britain have led to the development of ‘an alternative approach to equality based on a proactive model’. A racial equality duty was introduced in 2001 and a similar duty with regard to disability in 2006. A positive duty on gender equality commenced in April 2007. The Discrimination Law Review gave consideration to the introduction of a ‘generic’ positive duty in Britain as part of a future Single Equality Act. Canada has adopted a positive approach to the promotion of equality, with a particular focus on gender. Gender mainstreaming has, since 1994, also been embedded in the development of policies at national, regional and local levels in Sweden, with other forms of mainstreaming developed in Norway and the Netherlands.

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However, approaches to the promotion of equality of opportunity and to equality mainstreaming have been developed ‘unevenly’\(^{16}\) across Europe and further afield. There has been recognition internationally of the need for positive approaches to equality that go beyond the principle of anti-discrimination and this has resulted in the introduction of a range of legislative or policy instruments to that end. Some countries have favoured mainstreaming models that focus on single strands, in particular gender; some give a central role to policy appraisal; others (albeit very few) require a level of participation by civic society in the development of policies, or a focus on the promotion of good relations.

The positive equality duties in Northern Ireland contain a combination of existing and innovative equality practices and, as Rees predicts, ‘Section 75 may yet prove to be a model that should be adopted widely amongst the international community’.

### The intended impacts of the legislation

Clearly there is a need for a greater focus on Section 75’s potential achievements. By better appreciating what Section 75 set out to do, outcomes that would achieve those intentions can be identified. According to the Commission’s *Guide to the Statutory Duties*, ‘the promotion of equality of opportunity entails more than the elimination of discrimination. It requires proactive measures to be taken to secure equality of opportunity’\(^{17}\). The duties recognise and formalise the role of the public sector in promoting equality of opportunity and good relations; the effectiveness of the legislation should be measured in these terms.

The fact that the Section 75 duties on public authorities are to promote equality of opportunity and good relations, rather than purely to assess the impact of policies, indicates that the legislation is intended to be more than a framework for policy appraisal. The inclusion of a requirement to assess and mitigate adverse impacts implies that the legislation is intended to be more progressive than simply requiring equal treatment for all.


The legislation is intended to be transformative; fundamentally to change ‘social practices’\textsuperscript{18}, specifically the practices of government, including the removal of barriers to inequality and the prevention of new barriers, in order to achieve equality of opportunity and good relations for all.

Successfully to meet the objectives or intentions of the legislation, public authorities must consider their individual role in the promotion of equality of opportunity and good relations. This should be done by authorities taking a systematic approach to examining their functions and how these relate to the promotion of equality of opportunity and good relations. They should develop a conscious understanding of the inequalities that exist in society and of the experience of inequality amongst the community to whom they provide a service. Then they should introduce a proactive strategy for the promotion of equality of opportunity and good relations, in the context of their functions and policies, through the removal of these inequalities and the prevention of additional inequalities. Clearly, such an approach should result in substantive outcomes which should be identified and measured over time.

A strategy for identifying inequalities relevant to the functions of public authorities, setting out actions, and measuring their achievement is further discussed in Chapter 3.

What have the impacts of Section 75 been?

In undertaking the review, the Commission sought an understanding of the impacts of the legislation to date. Through a range of means, including research and public engagement, the Commission gained an appreciation of the impact of Section 75 on public policy and the impact on individuals across the equality of opportunity and good relations categories.

There are a number of points worth considering at the outset. Firstly, establishing the impact of Section 75 presented a challenge, given that baseline data on the equality of opportunity and good relations categories were not collected in 2000, thereby making retrospective assessment difficult.

Secondly, the approach taken by the Commission in monitoring compliance has mainly required public authorities to report on progress in terms of the systems, structures and procedures they have initiated, rather than on impacts in terms of equality of opportunity and good relations. This also made it difficult to assess impact and the Commission has reached a number of conclusions in this report regarding changes it intends to make to ensure that the focus in the coming years is on achieving and measuring outcomes in particular areas.

Thirdly, challenges exist in measuring the impact of the legislation given that the outcomes may not simply be attributable to Section 75, but to other policies or statutory measures in the areas of equality or social policy.

Finally, arriving at a conclusion regarding the overall impact of Section 75 should be placed in context of the relative youth of the legislation; the review must be realistic regarding what Section 75 should have achieved thus far.
Overall, Section 75 has had a considerable positive impact on how public policy is developed; however, the impact on the lives of individuals in terms of the implementation of these policy outcomes is less certain.

**Impacts on policy**

Research on the impact of Section 75 on public policy (Bridge, 2007)\(^{19}\) found that, despite occasional lack of clarity about what represents a policy, Section 75 has had a clear and very positive impact on policy development. Interviewees reported an increase in the number of policy makers within public authorities ‘taking ownership’ of Section 75 responsibilities. As well as better policy development, the research identified other benefits of Section 75; better external engagement by public authorities on the issue of equality of opportunity, giving credibility and transparency to decisions and the benefit of increased participation by civic society in the policy making process.

The research concluded that the processes associated with Section 75 had resulted in policy making taking place in a more inclusive and consultative, but potentially less creative, way. The researcher pointed to a perception among policy makers that Section 75 is about following a process; ‘there is more fear of getting it wrong and less scope for individual flair’. However, equality impact assessments are just one form of impact assessment required as part of ‘tighter control’ of the policy making process; so it may be that criticism is being unfairly levelled at Section 75 and not more broadly at attempts to proof policies for their impact, e.g. rural proofing, poverty proofing, etc.

Nonetheless, this report contains recommendations aimed at increasing awareness of equality issues among policy makers and streamlining the process of policy appraisal, with a view to better embedding equality of opportunity and good relations into public policy development and implementation. Section 75 has ensured that policies have, for the first time, been assessed for their impact on those with and without dependants. Benefits to carers have been reported to the Commission as part of the review.

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Despite some positive impacts outlined above, the Commission has also found a number of areas where improvement is required. Analysis of public authority five year scheme reviews, along with the findings of more than one piece of commissioned research, showed continued poor practice among government departments in assessing the impact of so called ‘high level’ policies on equality of opportunity. These policies or strategies often lead to the development of multiple policies across departments and can have a significant impact on equality of opportunity and good relations. Some departments struggle to conclude an overall or ‘aggregate’ impact of a ‘high level’ policy alongside the development of subsidiary policies.

The effects of mainstreaming of equality of opportunity and good relations appear to stop at the policy development stage and are failing to ‘trickle through’ to implementation. Good compliance with the duties has not entirely led to good effect; in a number of instances good practice has been followed in how decisions are made, but not in how they are followed through.

**Impacts on individuals**

The research on the impact of Section 75 on individuals (Reeves, 2007)\(^ {20} \) found that the impacts and outcomes on individuals has been ‘positive although partial’. In general, the Commission has concluded:

Individuals of different religious beliefs will have benefited from the steps taken by public authorities to better understand their needs in terms of service delivery; for example, through increasing accessibility in the delivery of services to take into account times of worship. There are examples of recruitment and selection policies being amended to mitigate an adverse impact for individuals of different religions.

- Those of different political opinions have benefited from work within public authorities to promote good relations. Considerable data are available to public authorities in assessing impacts on religious belief and political opinion, as a result of requirements on public authorities through fair employment legislation.

\(^ {20} \) Reeves Associates: *Assessing the impact of Section 75 of the Northern Ireland Act 1998 on individuals*, 2007.
When considering men and women as a category, current available data belies the multiple discrimination often experienced by women and this has had an impact on policy outcomes. A lack of research and literature on the experiences of disabled women exists in Northern Ireland (though the Commission has undertaken a research project in this area), particularly with regard to the barriers that prevent access to health and social services; this has had a particular impact on the policies being developed by public authorities. Overall Section 75 has tended to raise the debate about issues facing men which did not have a profile before.

In terms of racial group, the researchers found that Section 75 has improved the accessibility of services in sectors such as health. They also found some evidence that targeted consultation has enabled individuals and user groups from minority ethnic communities to engage in policy development.

In relation to age, the researchers found that Section 75 specifically drew attention to the inequality experienced by young people accessing services and, in general, helped raise awareness of age as an equality issue.

Marital status was identified as a category that is often ‘ignored completely’; implementation of Section 75 has ‘failed to highlight the current issues concerning marital status as a source of unfair treatment and discrimination’.

The researchers found that inequality and discrimination related to sexual orientation are better understood, thus creating opportunities for the issues to be addressed.

With regard to disability, the researchers found evidence that Section 75 has encouraged public authorities to anticipate the needs of disabled people and involve service users. In particular it has been ‘instrumental’ in enabling some public authorities to put in place a system which should lead to an increase in the recruitment of disabled people.
In terms of people with dependents, as with sexual orientation, Section 75 raised the profile of this category as one which has experienced disadvantage. The researchers were unable however, to determine the extent to which improvements in this area were as a result of Section 75 or other initiatives. They did find that representative groups reported a significant increase in involvement in the policy making process; with positive policy outcomes.

The above is a general assessment of the impact of Section 75 on the categories within the legislation, but not a comprehensive appraisal. The priority in the coming years is for public authorities to ensure that targets for impacts and outcomes across the categories are set and measured over time. On that basis, future assessments should be more effective in determining impacts.

Section 75 was described by contributors to the review as ‘revolutionary’, ‘progressive’, and ‘unique’, and reference was made to the very high early expectations of what the legislation could achieve. Some contributors argued that it was unreasonable to be overly critical of the legislation, given it is relatively new, its high aspirations and the breadth of its intended impact. Nevertheless, there was a general acceptance that Section 75 has led to a positive debate on equality of opportunity; that Section 75 has heightened its profile. This is qualified by the previous point that while there is more debate on the issue, more work is required to identify the expected achievements of Section 75.

Measuring Impacts and Outcomes

In carrying out the review, the Commission encountered the challenges associated with measuring the impacts of a progressive and ambitious piece of legislation. Impacts and outcomes can be determined by a range of factors, from effective compliance with the duties, to broader social and economic conditions and changes to public administration. Nonetheless, a framework is required to measure impacts and outcomes arising from the legislation.
Recommendation

- The Commission recommends that work is undertaken by government to develop baseline data and indicators to help public authorities to identify and measure outcomes. This would include data to allow comparisons of the potential impact of the legislation across the categories; and would help identify any categories not sufficiently benefiting from the legislation.

The recommendation above was welcomed by the vast majority of consultation respondents, with the exception of government departments. The consultation highlighted a difference of opinion between departments and other public authorities regarding the role of government in providing the public sector with the kind of data it needs to measure progress in relation to outcomes.

The Commission believes strongly that government has a central role in making data available; however, it would also add that public authorities have primary responsibility for monitoring progress in relation to the actions contained in their equality schemes. The Commission has not changed its recommendation considering the role of government in ensuring that primary data is available and will also work with public authorities as they report annually on progress and provide advice on effective methods of measuring progress and reporting on progress.
As discussed in detail above, the review has highlighted the need for greater focus on setting and measuring the achievements of Section 75 in terms of outcomes for individuals. This issue is particularly pertinent to the relationship between the Section 75 duties to promote equality of opportunity and to promote good relations and the provisions of Schedule 9 which set out arrangements for enforcing the duties.

The audit of compliance (Reeves, 2006)\textsuperscript{21} was helpful in providing an insight into how public authorities approached implementation of the duties. It found that public authorities ‘put more emphasis’ on identifying and mitigating adverse impacts than on the duties to promote equality of opportunity and good relations. In other words, greater energies have been focused on developing and implementing equality schemes and on assessing the impact of policies rather than on the promotion of equality of opportunity and good relations and the achievement of outcomes.

This may be for a number of reasons. In the research on the role of ECNI in the effectiveness of Section 75, Dickson and Harvey (2006)\textsuperscript{22}, for example, are of the view that a ‘disparity’ exists ‘within the legislation itself’; ‘the specific terms used in paragraph 9 differ from, and appear to be considerably weaker, than the terms used in Section 75(1)’. They argue that it is not necessarily the case that where a public authority meets its obligations under Schedule 9 it will thereby be able to show that it has met the requirements of 75(1). However, the researchers do


\textsuperscript{22} Brice Dickson and Colin Harvey: \textit{Assessing the role of the Equality Commission in the effectiveness of Section 75 of the Northern Ireland Act 1998}, 2006.
not argue that this has had a significant impact on implementation of the legislation; perhaps because it is too early in the life of the legislation to tell.

The Commission has concluded that a disproportionate emphasis by public authorities on Schedule 9 is due to interpretation of the legislation, rather than any disparities within the legislation itself. In its analysis of equality scheme five year review reports, the Commission also found evidence of a 'risk averse' approach to Section 75 within some public authorities; focusing on removing adverse impacts, but not going so far as promoting equality of opportunity. Many public authorities have focused their energies on adhering to the Commission’s guidance, rather than to the duties. The priority for future implementation is for public authorities to shift their attention to the duties. The aim is to make best use of the provisions of Schedule 9 in order to meet the Section 75 duties. The central objective is the promotion of equality of opportunity and good relations. Implementation of the legislation in the coming years will require tangible, measurable actions by public authorities towards the promotion of equality of opportunity and good relations.

Public authorities will be required to identify the inequalities that exist for the nine categories, and consider how, in exercising their functions, these inequalities could be reduced or removed and how equality of opportunity could be promoted. Each public authority will be required to outline specific actions within its equality scheme for the promotion of equality of opportunity and good relations. Such an approach was advocated by a range of contributors to the review, from public authorities to individuals and organisations with an interest in the duties, who agreed that the current focus on policy appraisal was failing to achieve the promotion of equality of opportunity and good relations.

The following sections set out in more detail how an emphasis on the equality of opportunity and good relations duties would work in practice. At this point the Commission considers that such an approach, based on changes to the Commission’s guidance, and to practice, would better reflect the direction of the legislation. The effectiveness of this approach will be monitored over time.
Equality Schemes as a framework

The development of equality schemes has provided authorities with a useful framework for ensuring that equality of opportunity and good relations are central to the business of the organisation, and to public policy making and, ultimately, to ensuring that the authority promotes equality of opportunity and good relations.

However, the Commission identified issues regarding the flexibility of schemes. While the Commission’s original guidance in this area was credited with ensuring a consistent approach to scheme development, there is a view among public authorities that schemes are inflexible in their current form and that future guidance should allow for minor changes to be made to schemes (e.g. to reflect structural changes within organisations) without requiring the Commission’s approval.

Similarly, there remain practical difficulties in requiring schemes to be developed to cover a five year period. Almost all public authorities develop corporate plans to cover a three year cycle and schemes should reflect a similar timescale; attempting to plan for a five year period is viewed by public authorities as impracticable. In addition, public authorities maintained that they would benefit from more regular scheme reviews, perhaps every three years.

The legislation provides some direction in this area; each public authority must produce an equality scheme, and this scheme should be reviewed before the end of a period of five years. However, the legislation does not expressly state that schemes must last for five years. The Commission has concluded that equality schemes would be more effective if they were to operate in parallel with the corporate planning cycle of each public authority, i.e. every three years. The Commission will amend its guidance to permit public authorities to produce schemes that will operate for a period of at least three years, but no more than five. Public authorities will then be required to review a scheme at the end of its lifetime, or at least every five years.
Actions for the achievement of outcomes

Various pieces of research commissioned as part of the review made recommendations with regard to outcomes; the audit of compliance (Reeves, 2006) recommended that ‘the next round of equality schemes could usefully be more outcomes oriented’. Dickson and Harvey (2006) make reference to a book by Sandra Fredman who describes the issue aptly, ‘Positive duties are proactive rather than reactive. The aim is to introduce equality measures rather than responding to complaints by individual victims and to harness the energies of … public bodies to do so…thus equality can only be meaningfully advanced if practices and structures are altered proactively by those in a position to bring about real change’.

The Commission will provide advice to public authorities on setting out actions for the achievement of the promotion of equality of opportunity and good relations. These actions should be:

- relevant to the functions of the public authority;
- developed on the basis of an analysis of the inequalities that exist for service users or those affected by policies;
- linked to achievable outcomes;
- realistic and timely;
- measurable.

For example, a housing provider should carry out an assessment of the inequalities which currently exist for service users and those affected by its policies. This may conclude, for example, that young men require specific actions to be taken to ensure equality of access to housing. On that basis, the authority should consider what it should do, on the basis of its functions, to reduce inequalities for this group, and promote equality of opportunity. This could include the development of support services to provide targeted advice to this group to prevent homelessness, and to improve advice services to be provided when homelessness occurs. These actions should be set out in the authority’s equality scheme, with a timeframe set for their achievement. The authority should monitor progress over time.

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The Commission is clear that public authorities should develop actions as part of the corporate planning process. Furthermore, these actions should complement those arising from the recent positive duties in respect of disability. The government’s policy and strategic framework for good relations, initially known as *A Shared Future*\(^{24}\), identified a number of policy objectives and priority areas for action within government departments through the development of ‘Triennial Action Plans’. The actions of departments and other public authorities in meeting the commitments, in the now known as, Programme of Cohesion Sharing and Integration for a shared and better future, or high-level strategies such as the Racial Equality Strategy or Gender Equality Strategy, should be reflected in their equality schemes. Commission guidance will provide advice on how to manage read across between high-level strategies, disability action plans, and actions to promote equality of opportunity and good relations.

### Designation of public authorities

A public authority is subject to Section 75 by virtue of its inclusion in one of several statutory provisions; Schedule 2 to the Parliamentary Commissioner Act 1967, Schedule 2 to the Commissioner for Complaints (NI) Order 1996, Schedule 2 to the Ombudsman (NI) Order 1996, or where designated for the purposes of Section 75 by Order made by the Secretary of State.

Research by Trotman (2007)\(^ {25}\) examined the role of the Northern Ireland Office (NIO) in making public authorities subject to Section 75, as well as the role of the Commission in this process. In examining the role of the Commission, Dickson and Harvey (2006) were ‘impressed’ with efforts made by the Commission to persuade the Secretary of State to designate public authorities for the purpose of Section 75. However, Trotman (2007) found a perceived lack of clarity among the voluntary and community sectors regarding the role of the Commission in the process of designating public authorities. The Commission is clear that its sole role is to provide advice to the Secretary of State regarding potential or future designations; the power to designate rests with the Secretary of State.

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The Trotman (2007) research further suggests a tension between the role of the Secretary of State in designating public authorities and the Commission in exempting public authorities from the duty to produce an equality scheme. The Commission does not agree. In accordance with the Commission’s Guide to the Statutory Duties, the Commission has interpreted this power as one which will only be used in exceptional circumstances; ‘exemptions being granted by the Commission either to a body entirely, or to particular functions of a body, will continue to be rare’. Moreover, an exemption would only exempt a body of the duty to produce a scheme, not the duty to promote equality of opportunity and good relations. The Commission is clear that the power to exempt a public authority from the duty to produce a scheme is entirely separate from the Secretary of State’s power to designate a public authority.

**Recommendation**

- **The Commission’s future guidance will require public authorities to include, within their equality schemes, actions that require a particular focus in that public authority to promote equality of opportunity and good relations, targeting particular inequalities.** There should be read across with corporate plans so that promoting equality of opportunity and good relations is central to the business of the organisation. They should be linked to the outcomes that public authorities wish to achieve, with targets set to measure progress in achieving these outcomes.

The Commission’s conclusion that public authorities shift their focus from processes towards actions to address identified inequalities and relate these more clearly to the particular function of the organisation was broadly welcomed by consultation respondents.

The Commission has identified the production of new guidance on equality schemes as a priority for the coming period. The Commission will provide advice to public authorities on setting out actions for the achievement of the promotion of equality of opportunity and good relations. These actions should be relevant to the functions of the public authority, developed on the basis of an analysis of the inequalities that exist for service users or those affected by policies, linked to achievable outcomes, realistic, timely and measurable.
The Commission is clear that schemes are the appropriate document to embed an action oriented approach to equality of opportunity and good relations by public authorities and that it is entirely within the scope of the legislation to require public authorities to outline actions in their schemes and to monitor outcomes.

**Recommendation**

- **Commission guidance will be amended to allow changes to be made to a scheme within its lifetime. Commission guidance will be amended to permit public authorities to develop equality schemes for a period of three years. The aim is that the timeframe for a scheme coincides with corporate plans and disability action plans. Guidance will also recommend that scheme reviews take place every three years and to meet the needs of the legislation, no less often than every five.**

The consultation found overwhelming support among public authorities for the proposal to increase the flexibility of equality schemes and to permit changes to be made within the life of a scheme. However, some voluntary and community sector organisations were less enthusiastic, advising caution as to what constitutes change and how this will be reported and monitored.

The Commission acknowledges the need for the new Commission guidance on equality schemes to set parameters regarding the changes to be permitted to schemes. The changes permitted will not be substantive, but will ensure the scheme reflects ongoing business within the public authority.
Mainstreaming equality of opportunity in public policy

Section 75 makes equality of opportunity central to public policy decision making. It must be an essential consideration in policy development, implementation, monitoring and review. This section considers the effectiveness of the legislation in that respect.

Section 75 has transformed the policy making process, making it more inclusive, more evidence-based and as a result, more informed. Despite this, however, public authorities are generally poor at demonstrating policy outcomes arising from the mainstreaming process. This could be due to a poor level of compliance among some public authorities, i.e. that equality of opportunity is not being sufficiently mainstreamed. The independent audit of compliance (Reeves, 2006) provided evidence of poor compliance in this area. It may also be due to the approach to annual reporting by the Commission, which was criticised in the research by Bridge (2007) into the impact of Section 75 on public policy.

The Commission has not systematically required public authorities to report on policy outcomes, so the lack of evidence here may be because public authorities were not required to collect such information. Some public authorities further claim that evidence of impacts is impossible to identify if equality of opportunity is properly embedded in the process of policy development. This is at odds with the findings of the audit of compliance (Reeves, 2006) which found very few examples of equality of opportunity being so well mainstreamed as to be ‘immeasurable’. The reasons are likely to be a mix of all of the above factors; the recommendations below aim to change practice in each of these areas.
The audit of compliance (Reeves, 2006) found that 45% of the public authorities in the sample were assessed at below the minimum level of compliance in relation to screening and equality impact assessment (EQIA). There are a number of reasons for poor compliance in this area:

- The audit found ‘a lack of sufficient understanding of the equality of opportunity and good relations considerations for the specific policy area(s)’. The researchers put it bluntly; ‘the audit did not provide sufficient evidence to show that all staff in public authorities really understood what screening was trying to do, and recommended a fresh approach to screening, including training for public authorities following the effectiveness review’. This was confirmed in the Commission’s analysis of five year scheme reviews, which found a view within some public authorities that the screening and EQIA process requires everyone to be treated the same, disregarding existing inequalities.

- The audit of compliance (Reeves, 2006) found that much more work needs to be done by public authorities, and by the Commission, to focus attention on the needs (in terms of equality of opportunity) of those affected by policy. Public authorities must ‘understand the specific needs of different equality groups in relation to the service being provided; how the needs impact on and relate to inequality between groups; what policies need to be addressed to make the most significant impact. By starting with needs of different groups, policy development can focus on how these needs can be met in the most appropriate way’.

- Research on the impact of Section 75 on public policy (Bridge, 2007) found that the approach to policy development under direct rule appears to be undermining the mainstreaming process within some departments; whereby insufficient time is allowed for the process of screening and EQIA and relevant consultation periods. The review further highlighted poor compliance within government departments in screening so called ‘high level’ policies. The research found a number of occasions where there was a lack of visible commitment to the screening process; further guidance may be required from the Commission in this area. In general, government departments place more emphasis on identifying adverse impacts than seeking out opportunities to promote equality of opportunity.
Public authorities rightly make a distinction between existing and proposed policies in their approach to screening. However, it has become apparent that the Commission’s guidance may be deficient in this area. The guidance treats existing and new policies together within the same section of the guide, in the context of the production of an equality scheme, i.e. identifying all policies, written and unwritten, and internally appraising (according to four criteria) the significance of equality of opportunity and good relations for each policy. This may have been unhelpful and may not sufficiently reflect the different steps to be taken in developing a new policy.

Poor compliance may be due to the perceived or actual complexity of the screening and EQIA process. The audit of compliance (Reeves, 2006) found that ‘the impetus to consult informally on screening resulted from a desire…to use screening more and more to get the policy right so that it did not need to go to EQIA’. Such an approach suggests that policy makers see the benefits of considering the equality implications of their policies but are reticent about going through the EQIA process.

Screening

The Commission advised policy-makers to identify whether a policy is pertinent for the promotion of equality of opportunity through a process of screening. However, the Commission has concluded that the process set out in its guidance is not sufficiently effective.

Approaches to screening by public authorities have changed over time. Following commencement of Section 75, public authorities, in preparing their schemes, screened their existing policies and identified those requiring an equality impact assessment. The process was generally understood as ‘filtering’ policies for equality impact assessment.

However, screening has been less effective in the development of new policies. The Commission’s guidance is clear that in developing new policies, the authority should screen the proposal, consult on its decision and if ‘screened in’ should carry out an EQIA as part of the policy development process. In practice, in a number of instances, proposed policies have been developed, with changes made to the policy during screening. In effect, screening has not acted as a ‘filter’ but as a ‘mini EQIA’.
The Commission has considered the role of consultation in screening new policies. Following a review of its guidance in 2002, the Commission required public authorities to consult on the outcome of screening exercises. This has, in effect, required public authorities to consult twice on a single policy and perhaps acted as a disincentive to carrying out an EQIA.

The Commission intends to advise that in the development of new policies consultation is not required where policies are ‘screened in’; i.e. where a requirement for EQIA is identified. This would allow policy-makers to progress immediately to an EQIA, focusing on data gathering, potential changes to the policy and consultation. Where a public authority proposes, following screening, to ‘screen out’ the policy, a twelve week consultation will remain a requirement.

This proposal has a number of aims. Firstly, to re-prioritise EQIA as the primary method of assessing the impact of policies, as intended by the legislation. Secondly, to streamline the policy making process. Screening must be more effective in acting as a ‘filter’ to identify policies relevant to the promotion of equality of opportunity and those which will produce any adverse impacts. EQIA should remain the sole process through which changes are made to the policy to better promote equality of opportunity and mitigate adverse impacts. Screening is not a ‘mini EQIA’ and cannot be used as a substitute for an equality impact assessment.

‘High Level’ policies

The audit of compliance (Reeves, 2006) found that work is required to ensure good practice within government departments on assessing the impact of ‘high level’ policies on equality of opportunity and good relations. While the Commission’s guidance on EQIAs applies to the development of all policies, including ‘high level’ policies and strategies, the review highlighted the need for further advice from the Commission to ensure compliance by departments in this area. The Commission will, as a matter of priority, provide targeted and detailed advice across government departments to ensure clarity on equality impact assessment of ‘high level’ policies.
Equality Impact Assessment

Issues were raised regarding the point in the policy cycle at which an equality impact assessment proceeds. Very few public authorities were able to demonstrate that the EQIA process is used as part of, and in parallel with, the policy development process. Evidence was found of a number of instances where an equality impact assessment was carried out after a policy has been developed, thus reducing the meaningfulness of the EQIA. This suggests a lack of understanding of the process by policy-makers and, on a very practical level makes the policy development process considerably more complicated than it needs to be. The perception on the part of some public authorities that the EQIA process is unduly cumbersome may indeed be due to a misunderstanding of the process. Whatever the reason for this perception, it is incumbent on the Commission to ensure the process is understood and complied with.

Generally, there is greater familiarity within public authorities with the EQIA process than with screening, which may be due to the fact that the Commission produced more detailed guidance on the EQIA process. Recent years have seen a reduction in the number of EQIAs carried out, and continued poor practice within some authorities. A renewed emphasis on building expertise on understanding existing inequalities and the intended impact of Section 75 in promoting equality of opportunity should improve compliance in this area.

Consultation

Greater engagement or consultation with those directly affected by policies is one of the key successes of Section 75. One public authority described it aptly as ensuring that ‘government can no longer take key policy decisions without first having conversations with people who will be affected by those decisions.’ Contributors to the review reported a more inclusive approach to policy making; a new departure in how policy is made as public authorities take steps to consider the potential impact of their policies. However, there was a sense among contributors to the review that the full potential of consultation has not yet been realised.

In general, members of the public who attended the public engagement sessions, argued that they have not seen an increase in requests by
public authorities for their views on the potential impact of policies. This compares significantly to the views of participants working in the voluntary or community sectors who reported a deluge of consultation requests. This suggests that public authorities have sought the views of representative organisations rather than seeking the views of the public and those directly affected by policies.

In addition, not all voluntary and community sector organisations are regularly consulted. Review research assessing the contribution of the voluntary and community sectors to the effectiveness of Section 75 (McMahon, 2007)\(^{26}\) highlighted low levels of involvement in the consultation process across the voluntary and community sectors, with 58% of organisations surveyed in the research reporting that they had never been involved in a policy consultation. This is in stark contrast to the view that the sectors have been ‘over consulted’. The researcher suggested that many community and voluntary organisations remain outside the public policy development process, that the process of consultation is not ‘trickling down’ from the well established organisations. This compounds the reported lack of knowledge regarding Section 75 in some parts of the voluntary and community sectors.

There is a disparity of views between public authorities and the voluntary and community sectors regarding consultation. Public authorities found the process of consultation and engagement as helpful in identifying adverse impacts of policies; whereas the sectors were less enthusiastic in their view of the positive outcomes achieved. Research by McMahon (2007) in this area recommended that work be done to ensure better reporting of the impact of consultation on policy outcomes. In general, the process was most effective where feedback was provided to consultees so that they could track the extent to which their views were taken on board.

The audit of compliance (Reeves, 2006) found a high number of authorities (86%) to be compliant with their commitments on consultation; it is clear that consultation is taking place. However, the researchers felt that this level of compliance should be built on to ensure best practice. A greater emphasis on targeted consultation and a wider range of consultation mechanisms was recommended. There was

\(^{26}\) MMMA Consultancy, (McMahon): Assessing the roles of the voluntary and community sectors in contributing to the effectiveness of Section 75 of the Northern Ireland Act 1998, 2007.
evidence of patchy practice in government departments in particular, with
some showing evidence of innovative practice through the development
of tailored materials and the development of fora for ongoing dialogue.
However, little evidence was provided of any overall co-ordination
of consultations across departments. The researchers found a
tendency for consultation to be used as an alternative, rather than as
complementary to data collection. They also found resistance to
carrying out EQIA, resulting from a perception that the consultation
period was too long. This is despite the fact that Commission guidance
requires a shorter consultation period, of two months, than Cabinet
Office guidelines, of three months. Researchers also found little direct
consultation with children and young people and people with learning
difficulties. They found a perception among some authorities that
advertisements in newspapers amount to consultation even though
there is clearly a distinction between informing the public of a
consultation and the process of consultation itself.

The review also found evidence of some misinterpretation of the
Commission’s guidance regarding consultation. The Commission is
clear that consultation on a policy proposal must include consultation ‘on
the likely impact of policies’ and take into account these assessments of
impact. Public authorities must acquire knowledge of the circumstances
of those who may be affected by a policy; gaining an understanding of
how the policy may impact on them, as well as their views on the
substance of the policy. The audit of compliance (Reeves, 2006) found
that while public authorities were proactively seeking the views of
organisations, and to a lesser extent the views of individuals, on policy
proposals, insufficient time was being given to the assessment of impact.

The Commission identified a need for greater efforts to ensure that
targeted consultation does not amount to exclusion of individuals or
organisations. Contributors to the review reported some public
authorities limiting access to policy consultations, e.g. only including the
age sector in policies relating to age. Effective consultation requires a
recognition and understanding of the diverse needs and multiple
identities of consultees.

All public authorities should give due consideration to the way in which
they seek the views of consultees; review research found that very few
authorities target consultations effectively. However, there was
disagreement among public participants regarding the issue of targeted
consultation. Some organisations and individuals expressed a preference for receiving all policy documents as it allowed them to self select those policies to which they were interested in contributing. Others felt that public authorities should do the selecting; however they should have a better understanding of which issues people are interested in. In general, public authority staff concurred with this analysis; and pointed to the need for a single staff resource to both co-ordinate consultations across the organisation as well as build expertise on the consultation process. There are examples of good practice in this area, where authorities have benefitted from internal expertise on consultation, and developed innovative means of consulting on the likely impact of policies. It has also ensured added value to the consultation process, as lessons can be learned from previous consultations.

In developing guidance for public authorities on consultation with children and young people, the Commission sought the views of groups of children and young people on how they can best participate in the policy making process, to ensure the potential impact of policies on this group can be assessed effectively. Children and young people have preference for a range of methods of consultation, including face-to-face consultation, involving the use of play, small discussion groups and consultative fora (particularly for older children), and better use of new technologies. The Commission benefited greatly from the insights gained from children and young people, and will monitor compliance with the guidance and measure the extent to which it enhances consultation with this group.

Independent research and the Commission’s engagement as part of the review found a need for greater support for individuals and organisations targeted as part of public policy consultations. Dickson and Harvey (2006) suggested that a body could be funded to provide this support on behalf of public authorities, though noted that it is debatable whether this would be strictly within the current powers of the Commission. The Commission does not currently possess powers to provide support, financial or otherwise, to the individuals and organisations that public authorities consult in the development of their policies. While the Commission has previously provided financial support to build capacity within organisations to contribute to the policy making process, it is not convinced that revisiting such an approach would provide a remedy to
the issues raised above. The review has identified measures which may improve the consultation process, and the Commission considers that its energies would better lie in ensuring compliance by public authorities on these issues.

**Monitoring**

The legislation recognises the need for consistent assessment of intended or unintended impacts of policies in terms of equality of opportunity. This requires public authorities to develop systems in order to assess how a policy has been implemented, if it has had the intended effect and if changes are required to the policy to better promote equality of opportunity or to mitigate adverse impacts. However, the Commission has found poor practice in monitoring for adverse impacts by public authorities. The audit of compliance (Reeves, 2006) identified this as the weakest area of compliance among public authorities, with 55% of those sampled below the minimum compliance level in this area. Some public authorities attribute poor practice in monitoring to lack of Commission guidance in this area. This is contested by the findings of the audit, which showed some examples of good practice in this area. Nevertheless, the Commission has produced guidance on monitoring and aims to measure the impact of this guidance in increasing good practice on monitoring.

Existing Commission guidance on equality impact assessment requires that a public authority revise a policy if, after two years, the policy results in greater adverse impact than predicted or if opportunities arise which would allow for greater equality of opportunity to be promoted. On the basis of the review, and given the potential immediate impacts of some policies, the Commission will develop its guidance on assessing equality implications and the requirement to monitor the implementation of a policy.

**Recommendation**

- *The Commission will amend its approach to progress reporting to require public authorities to measure the impact of mainstreaming equality and good relations on policy outcomes.*
There was general support for this recommendation and the Commission agrees with respondents who wish to ensure that measuring outcomes does not detract from the work to promote equality of opportunity, and will take this into account when developing a methodology.

Nonetheless, one of the key conclusions of the review is that despite a substantial stream of work by public authorities to assess the impact of policies, there is little information available on what difference this has made. On that basis, and notwithstanding the associated difficulties, the Commission will amend its annual reporting template to require such information from public authorities and will advise authorities on the steps they can take to meet the Commission’s requirement.

**Recommendation**

- *Given the potential impact of ‘high level’ policies or strategies on equality of opportunity and good relations, visible evidence of equality impact assessment by government departments in this area is required. The Commission will, as a matter of priority, provide targeted and detailed advice across government departments to promote clarity on an approach to the equality assessment of high-level policies.*

The Commission will provide advice to government departments to promote clarity on an approach to equality impact assessment of high-level policies. This advice will be based on revised guidance material on equality impact assessment as part of policy development, which will be included in the revised Guide to the Section 75 Statutory Duties.

**Recommendation**

- *The Commission will make changes to the policy appraisal process to maximise the opportunities provided by Section 75 to promote equality of opportunity and good relations. The Commission’s guidance on screening for proposed policies will be amended to produce a more efficient and effective ‘filter’ in early identification of equality considerations, thus allowing public authorities to quickly see whether a policy is pertinent for the promotion of equality of opportunity and good relations. The equality impact assessment process should*
continue to be the primary method of assessing the impact of policies on equality of opportunity and good relations, with public authorities carrying out impact assessment as they develop policies, rather than afterwards.

In relation to the existing screening and EQIA processes, consultation respondents’ comments were particularly helpful in providing information on the challenges associated with the current process. They highlighted that a number of public authorities continue to view the EQIA process as ‘an admission of guilt’. The comments clearly show that the Commission was correct to conclude that some public authorities are avoiding EQIA. A shift in emphasis is required towards equality impact assessment as the policy is being developed. The emphasis must also be towards introducing mitigating actions or initiating alternative policies to better promote equality of opportunity and improve services.

The review was a timely opportunity to reopen a debate with public authorities on the role of policy appraisal in promoting equality of opportunity and good relations. The legislation is clear that public authorities must assess the impact of their policies; the challenge for the coming period is to do that in a robust, appropriate and effective way, and to ensure consistency of application across public authorities.

Taking into account the views of respondents, the Commission will revisit the existing guidance on screening and equality impact assessment and review the screening process and criteria. The Commission aims to provide updated advice to public authorities on the use of a filter for the early identification of policy issues that are relevant to the Section 75 duties and to further equality impact assessment.

**Recommendation**

- **Future improvements to the consultation process must ensure that public authorities seek the views of the public and those directly affected by the policy, rather than focusing wholly on representative organisations. They should also ensure a more effective assessment of the impact of policies, better reporting of the impact of consultation on policy outcomes, encourage a greater emphasis on targeted consultation and the use of wider range of consultation mechanisms.**
Generally, a fresh approach to consultation is required to ensure it achieves its aims, that is, hearing views on the likely impact of policies.

Consultation respondents were generally supportive of the need to consult with those directly affected, but a number of public authorities, in particular government departments, questioned how this can be possible in practice. Voluntary and community sector organisations responded positively. The Commission will clarify further the intention of the legislation in its revised Guide to the Section 75 Statutory Duties, regarding the use of effective, direct and targeted consultation methods, to ensure engagement with those directly affected by policies. The Commission will also take cognisance of developments in consultation guidance and codes of practice in this context.
The Commission’s powers and duties

The Commission’s duties and powers in respect of Section 75 broadly include reviewing the effectiveness of the legislation, providing advice to public authorities and others on the legislation, discharging the range of functions conferred by Schedule 9 and reporting on progress. The Commission has responsibility for the approval of equality schemes and where appropriate, investigating alleged breaches of equality schemes. Contributors described the review as a milestone in the application of the Commission’s role in overseeing implementation of Section 75 through its powers and duties. The review considered the adequacy of these duties and powers and assessed the steps taken by the Commission to discharge its duties and use its powers.

The Commission possesses a continuum of powers intended to enforce the legislation. Research by Dickson and Harvey (2006) found that advice provision and monitoring were seen to be effective in overseeing implementation of the legislation. The Commission’s approach to advice provision was considered effective; advising public authorities to get the right systems and structures in place to ensure compliance, and working with public authorities to ensure familiarity with the duties. However, the effectiveness of Section 75 is dependent on a strategic approach to enforcement that better links the provision of advice with monitoring compliance and investigating alleged breaches of schemes. In his contribution to the operational review (2004), McCrudden made a similar point. He argued that the application of Section 75 ‘lacks an overall strategic focus’ and advocated that attention be paid to ‘strategic objectives’. According to McCrudden a ‘much stronger approach’ was required from the Commission on enforcing compliance and he proposed that it develop an enforcement strategy.  

conclusions regarding a strategic approach to monitoring and enforcing compliance are aimed at enhancing the effectiveness of the legislation in this respect.

■ Keeping the effectiveness of the legislation under review

The duty of keeping the effectiveness of legislation under review, positions the Commission as the key organisation responsible for assessing whether the legislation achieves its policy intentions. It is incumbent on the Commission to review how well the legislation works in practice, whether it is ‘fit for purpose’ and whether changes are required to its provisions, or to its implementation to ensure its effectiveness.

The Commission has worked to keep the effectiveness of the legislation under review in its approach to annual and five year reporting by public authorities and in its work generally with public authorities. Staff have carried out detailed analysis of the information contained in public authority reports and used the lessons learned in planning the Commission’s strategic approach to overseeing implementation. For example, an early review of implementation of the Commission’s guidance, taking into account the experience of public authorities and affected groups, highlighted particular issues in relation to the level of detail in the guidance. On this basis, the Commission revised the guidance with a view to increasing the effectiveness of the legislation.

Similarly, implementation of its other obligations has contributed to the Commission’s approach to reviewing the effectiveness of the legislation. Through the provision of advice, by monitoring compliance and by enforcing the legislation, the Commission has kept abreast of the key issues regarding implementation and compliance.

It is incumbent on the Commission to take a strategic approach to reviewing the effectiveness of the legislation. Dickson and Harvey (2006) found it regrettable that the Commission waited until the sixth year of its operation before triggering a review and suggested that this prevented the identification of obstacles to the effectiveness of Section 75. While initial soundings on the review welcomed the Commission’s approach to measuring effectiveness in terms of impacts and outcomes, there was some concern that the Commission would wait another six years before a further strategic review. Some participants in the
Commission’s engagement sessions sought clarification regarding how the Commission would take into account the outcomes of the review when planning for the future.

From the outset, the Commission saw the potential of the current review to provide a template or a model to assist it in continuing to discharge its duty. The relevant elements of this strategic review of effectiveness will be integrated in the continuing process of review. As part of the review, the Commission commissioned research that provided it with a framework or baseline for compliance (Reeves, 2006) and with a methodology for assessing the impact of the legislation on individuals (Reeves, 2007). Both of these, together with other outcomes of this review, will be used by the Commission to meet its duties in the coming years.

### Offering advice

The Commission is required by the legislation ‘to offer advice to public authorities and others’ in relation to the Section 75 duties. The Commission has interpreted the advice duty broadly, and provides advice by a range of means, by producing guidance for public authorities and by providing briefings and presentations on the duties to public authorities and to other organisations and individuals. This includes offering advice or intervening where the Commission believes it will improve a policy direction or outcome as regards equality of opportunity or good relations.

A range of views was presented to the Commission throughout the review regarding its role in providing advice. In general, the advice provided by the Commission was found to be of high quality and useful to public authorities. However, members of the public contended that advice to the public is not sufficiently accessible. For example, it was argued that the current approach places too much onus on a potential complainant to understand the intricacies of the legislation and to identify an alleged breach of an equality scheme. These issues are discussed in more detail in the section on promotion of the legislation. Dickson and Harvey (2006) found that the Commission’s approach to its advice duty was essentially process rather than outcomes driven. However, they accepted that ‘given the huge task… it was right to focus on ensuring that it provided uniform advice to public authorities and others’. The
The prevailing view of contributors to the review was that the Commission was right to focus on the provision of detailed advice to public authorities in the early years of Section 75. However, opinion was mixed regarding the focus of future advice. Voluntary and community sector organisations contributing to the review contended that the Commission focuses a disproportionate amount of its time (in relation to Section 75) on advising public authorities and far less on promoting the duties or on supporting individuals to make complaints. They argued that more time should be spent advising the voluntary and community sectors and members of the public on the duties and on promoting the benefits of Section 75. For their part, the majority of public authorities urged the Commission to reduce the time spent on detailed guidance and replace this with less ‘formal’ advice provision, for example by promoting good practice.

The duty on the Commission to offer advice to public authorities and others is contained within the provisions of Schedule 9 of the N.I. Act, 1998 which is entitled “Equality: Enforcement of Duties”. The Commission sees the duty as one element of its enforcement powers, as part of a continuum of powers ranging from advice and monitoring compliance to enforcement. Hitherto, the Commission’s approach to advice giving has been set in the context of overseeing implementation of new and developing legislation; the focus has been on ‘getting the process right’. However, given the relative familiarity with the duties among public authorities, the Commission will turn its attention to an advice strategy aimed at sharing practice among public authorities and ensuring a greater familiarity with the duties among the voluntary and community sectors and the public.

**Monitoring compliance**

The Commission has monitored compliance within the context of its duty to review the effectiveness of Section 75 and its duty to report on progress made by public authorities in meeting their duties. It has taken a broad approach to monitoring compliance. Chiefly, this has involved requiring public authorities, in their equality schemes, to commit to the submission of annual progress reports to the Commission. The Commission ensures that this information is received and analysed, and this forms the basis of a published report from the Commission, setting out public authorities’ views on their progress in implementing Section
75. Similarly, the Commission carried out a detailed analysis of the information contained in reports from public authorities following their five year scheme reviews and has used this information to inform this review of effectiveness.

While the approach taken by the Commission was useful in providing a range of information on progress, research by Dickson and Harvey (2006) found that the Commission ‘could have been more effective than it has been in monitoring the implementation of the Section 75 duties’. The Commission has identified a number of issues:

- Research on the impacts of Section 75 on policy development (Bridge, 2007) found that, in monitoring compliance the Commission had not requested sufficient or accurate information from public authorities on the changes they had made to the policy making process as a result of Section 75, on the policy outcomes arising from the process or on the extent to which the authority has better promoted equality of opportunity and good relations. Requests for such information in annual progress reports would have required public authorities to present this evidence, thereby having an impact on practice throughout the year. The research recommended changes to the kind of information sought from public authorities by the Commission.

- The audit of compliance (Reeves, 2006) questioned the approach taken by the Commission to monitor compliance on the basis of analysis of information received from public authorities and recommended an approach which validates this information. It goes on to recommend an approach that ‘digs beneath the surface’ of the information submitted by public authorities. The audit of compliance (Reeves, 2006) was particularly helpful in setting out the benefits of an audit approach; the development of a model or standard for compliance and an assessment of compliance on the basis of this standard.

- Lessons should be learned from the Commission’s approach to monitoring compliance with fair employment legislation; the Commission could take a more strategic approach by selecting, on an annual basis, public authorities that will be subject to detailed compliance monitoring, either through audit or other means of appraisal.
Research also found the need for the development of baseline statistical data to allow the Commission to measure progress in various areas.

Dickson and Harvey (2006) referred to Commission practice to produce two annual reports a year; one setting out the steps taken by public authorities to promote equality of opportunity, the other the Commission’s corporate annual report. The Commission disputes their suggestion that it has failed to submit an annual account of steps taken by it and other authorities to promote equality of opportunity. However, it accepts the need to review its approach to reporting on progress, on the basis of the broader findings of the review regarding a strategic approach to monitoring compliance.

The commencement of a new duty on public authorities to promote positive attitudes to disabled people and to promote their public participation, along with developments in relation to positive equality duties in Britain, has resulted in a situation where, in a number of cases, a single public authority will be required to report on progress under its Northern Ireland equality scheme, the disability duties here and on progress with their race, disability and gender duties in Britain. The Commission is committed to working with the Equality and Human Rights Commission to agree a streamlined approach to reporting, to reduce duplication of work and to enhance the effectiveness of progress reporting for UK public authorities.

Following the development of single strand strategies, such as the Children and Young Person’s Strategy, the Race Equality Strategy, the Gender Equality Strategy and the Programme of Cohesion Sharing and Integration for a Shared and Better Future, government departments are required to develop strategic actions in a range of areas. To ensure effectiveness, greater cohesion is required between the mechanisms for reporting on equality schemes and the new procedures for submitting and reporting on action plans under cross-departmental single strand strategies. The Commission will work closely with OFMdFM in the development of new guidance on equality schemes to manage the development, implementation and measurement of actions to promote equality of opportunity and good relations, so as to ensure effective cross-over between equality schemes, and actions committed to under cross-departmental strategies.
The Commission views the development of a strategic approach to monitoring compliance as a way to increase the effectiveness of its duty to enforce the legislation; the more that is known and understood about factors affecting compliance, the better the Commission can use its powers to enforce the legislation. To that end, the Commission will develop a baseline or ‘standard’ of compliance required by public authorities. This will give clarity on required practice, help public authorities to monitor their own compliance and support public authorities to improve practice over time. The Commission will review its approach to monitoring compliance and will ensure that the information sought from public authorities is linked to actions and outcomes, by carrying out an appraisal of the information received and by selecting a number of public authorities each year that will be subject to detailed compliance monitoring.

Investigating alleged breaches of Equality Schemes

Schedule 9 of the N.I. Act, 1998 conferred powers of investigation on the Commission, aimed at enforcing the legislation. The Commission can investigate an alleged breach of scheme where a complaint has been made by an individual directly affected by the alleged breach. The Commission has completed eight such investigations. The Commission may also investigate an alleged breach of scheme of its own accord, and has completed three such investigations. The Commission’s approach to managing complaints and investigations is contained in its investigations protocol. Regular appraisal of the effectiveness of its investigations procedure by the Commission has been useful in enhancing the effectiveness of Commission interventions. A recent legal ruling resulted in the Commission appraising its interpretation of Schedule 9 and making resultant changes to its investigations protocol. Judge Girvan found that the Children’s Law Centre, an organisation who had made a complaint to the Commission, was not ‘directly affected’ by a breach of an equality scheme by the Northern Ireland Office (NIO). The judgement has influenced the Commission’s interpretation of ‘directly affected’.

Dickson and Harvey (2006) argued that limitations exist in enforcing the duties through the investigations process. They pointed to the provisions of the legislation that only allow for an investigation following an alleged

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breach of an approved equality scheme; not a breach of the duties to promote equality of opportunity and good relations. A perception exists among some contributors that the Commission’s enforcement powers ‘lack teeth’. Challenges exist in implementing the relevant Schedule 9 provisions; given that schemes set out the steps taken by public authorities to meet their duties, breaches of schemes tend to relate to a failure to follow a particular process. As a result, the outcomes of investigations have tended to require a public authority (retrospectively) to improve its approach to a particular process rather than requiring a public authority to come to a particular conclusion in relation to a policy. As Dickson and Harvey (2006) point out, ‘The Commission itself is given no power to direct a public authority to take any action…the Commission appears fairly powerless in this area compared with its position in the area of discrimination law’.

The Commission has considered a range of ways in which the legislation could be more effective in achieving outcomes. Certainly, the provisions of the legislation are restrictive in linking an investigation to a breach of an equality scheme; however it is not the case that this hinders the effectiveness of the legislation. As set out in Chapter Three, the Commission will amend its guidance to require public authorities to prioritise outcome-oriented actions within their schemes, to be achieved in a set timescale. By broadening the content of schemes, the link between an investigation and a breach of scheme may not be so limiting; investigations could consider whether a public authority has worked to achieve a particular action as set out in its equality scheme, rather than whether the public authority has followed a process. Further reviews could helpfully consider whether this has increased the effectiveness of the legislation. If not, amendment of the legislation may be an option to consider.

In terms of how the Commission uses its powers of enforcement, it was argued that procedures for conducting investigations are ‘convoluted’. However, this was not the overwhelming view of those contributing to the research; the perception may be based on a lack of understanding of the legislation and could be remedied by awareness-raising about the process. As set out in the previous section, the Commission will, as a matter of priority, focus on providing advice to the public and to the voluntary and community sectors to improve their understanding of the legislation and of the means of redress for individuals directly affected by an alleged breach of a scheme.
The Commission has concluded, however, that work is required to enhance the timeliness of Commission intervention regarding enforcement of the duties. Research and engagement as part of the review has highlighted some deficiencies in terms of approach by the Commission. Dickson and Harvey (2006), for example, did interpret the two months given to a public authority as a reasonable opportunity to respond to a complaint as ‘rather generous’. Other contributors to the review cited the length of time it takes for the Commission to complete an investigation as potentially undermining the effectiveness of its powers. The Commission will consider a range of issues, including these, to ensure its interventions are timely and effective.

As set out above, the Commission will take a more strategic approach to monitoring compliance with the duties, and aims to use this approach to better identify alleged breaches of schemes and use its investigatory powers to respond to any breaches in a more timely manner.

**Recommendation**

- *The Commission will review its current procedures to ensure its advice to individuals and organisations is fully accessible.*

Responses were favourable in respect of this recommendation; there was general agreement that work is required to ensure that advice to the public should be more accessible, and that guidance for public authorities should be more user-friendly.

Taking into account the views of respondents, the Commission will review the accessibility of its Section 75 advice provision in the coming period and, on the basis of this review, take steps to enhance provision in this area.

**Recommendation**

- *The Commission will focus its advice provision on sharing practice among public authorities and ensuring a greater familiarity with the duties among individuals and organisations.*
There was overwhelming agreement among respondents that the Commission should turn its attention to sharing practice as part of its advice duty. The Commission is clear that sharing practice is entirely appropriate within the context of its duty to provide Section 75 advice. The Commission is committed to taking this work forward in the coming period.

**Recommendation**

- As part of a strategic approach to advice provision and to monitoring compliance, the Commission will establish a baseline or ‘standard’ of compliance. This will provide clarity for public authorities and others on required practice, help public authorities to monitor their own compliance, while also supporting public authorities to improve practice over time.

There was general agreement among respondents that the Commission should adopt a more strategic approach to monitoring and enforcing compliance. This work will form the basis of the Commission’s approach to a more strategic use of its Section 75 enforcement powers and will set clear expectations on public authorities in terms of Section 75. In developing its approach, the Commission intends to engage with a range of stakeholders.

**Recommendation**

- The Commission will require that public authorities report progress on the achievement of impacts and outcomes, requiring authorities to measure these over time.

There was general agreement that public authorities should be able to report to the Commission on the outcomes arising from Section 75. The Commission agrees with respondents who wish to ensure that measuring outcomes does not detract from the work to promote equality of opportunity and good relations, and will take this into account when developing revised guidance. Nonetheless, one of the key conclusions of the review is that despite a substantial stream of work by public authorities to assess the impact of policies, there is little information
available on the differences this has made for individuals affected by inequalities. On this basis, and notwithstanding the associated difficulties, the Commission will amend its annual reporting template to require such information from public authorities and will advise authorities on the steps they can take to meet the Commission’s requirement.

**Recommendation**

- The Commission will work with the Equality and Human Rights Commission, to agree a streamlined approach to progress reporting to reduce duplication of work and enhance the effectiveness of progress reporting for UK public authorities.

There was overwhelming support for this recommendation amongst consultees. As part of its ongoing engagement with the Equality and Human Rights Commission in GB, the Commission will take forward this recommendation in the coming period.

**Recommendation**

- The Commission will work closely with OFMdFM in the development of guidance on equality schemes to manage the development, implementation and measurement of actions to promote equality of opportunity and good relations. Guidance is intended to ensure effective coherence between equality schemes, and actions committed to under cross-departmental strategies, such as the Race strategy, the Gender strategy and the Programme of Cohesion Sharing and Integration for a shared and better future.

Respondents by and large accepted the need for better complementarity, and welcomed the Commission’s recommendation. The Commission’s objective is to ensure that the actions of departments and other public authorities in meeting strategies such as the Gender strategy should be reflected in their equality schemes; enhancing the effort involved, and leading to better outcomes. This will be a priority for the Commission’s forthcoming guidance and for its advice to departments and associated public authorities.
As set out in Chapter 3, the Commission is recommending that schemes be amended to set out outcome-oriented actions to be achieved over time. By refining the scope of schemes, investigations could consider whether a public authority has failed to achieve a particular action as set out in its equality scheme, as well as considering compliance issues related to Section 75 processes.

**Recommendation**

- The Commission has concluded that work is required to enhance the timeliness of Commission intervention regarding enforcement of the Section 75 duties. The Commission will consider a range of issues to ensure its interventions are timely and effective.

There was general support for this recommendation, and the acknowledgement by the Commission that it should be a more strategic enforcer of the legislation. The Commission believes timeliness of intervention is central to the effectiveness of the legislation, and while it is not proposing changes to the recommendation, it will engage in further discussion with public authorities on the matter, as it develops new guidance on schemes so that there is effective redress for those directly affected by policies, where they feel a breach of scheme has occurred.
The Role of the Commission in promoting good relations

Progress by public authorities in implementing the duty on equality of opportunity has not been matched in terms of the good relations duty and an inconsistency of approach exists across public authorities. In contributing to the Commission’s engagement sessions on the review, participants reported a lack of knowledge among the public of the good relations duty. Public authority staff also accepted a lack of knowledge among policy-makers of good relations as a concept and of the duty itself. This was attributed to a greater focus having been given to equality of opportunity in the early years of implementing Section 75. It was also linked to a perception within public authorities that equality of opportunity work is ‘easier’ or that the issues are ‘less contentious’. This is borne out in the findings of research by Bridge (2007), into the impact of Section 75 on public policy, which found that good relations work appears to have figured to a lesser extent in the public authorities’ Section 75 activities than that of equality of opportunity.

The development of *A Shared Future* (2005), the government’s strategic approach to the achievement of good relations, has brought welcome attention to the role of government departments and others in promoting good relations. Despite this, a level of confusion exists amongst public authorities regarding the practical implications of the relationship between the good relations duty under Section 75(2) and *A Shared Future*.

Research by Trotman (2007) into the role of OFMdFM and NIO in contributing to the effectiveness of Section 75 makes a similar point, referring to ‘contrasting interpretations, perspectives and expectations’ of the duty on public authorities regarding good relations. The researcher
attributes this to confusion about the respective roles of the Equality Commission and the Community Relations Council (CRC) in the context of *A Shared Future*. The research points to a view that good relations work is seen by OFMdFM as the responsibility of the Community Relations Council; ‘it is contended that a structure specifically geared to address community relations would be more effective in developing the Section 75(2) duty at the grassroots’. The research concludes that this ‘uncertainty’ ‘has had a measurable impact on the ability of the public authorities to drive Section 75 as robustly as they might’.

However, the Commission points to the legislation for a conclusive reading of its respective role and does not concur that a greater role for CRC in driving progress on good relations at a grassroots level, is at odds with the Commission’s statutory remit in respect of good relations. Equality of opportunity and good relations are inextricably linked in fact and in law. The Commission has an enduring statutory responsibility for overseeing Section 75(2), including the enforcement of the duties and the provision of advice. The importance of the duties is recognised in the Shared Future policy document; ‘equality of opportunity and the promotion of good relations are central to delivering good quality public services and a better quality of life for everyone. The good relations duty under S75 (2) will shape the public service response. A greater role for the Community Relations Council in embedding progress on the Programme of Cohesion Sharing and Integration for a shared and better future, is entirely complementary with the Commission’s statutory remit.

The Commission currently promotes good relations between people of different racial groups, in accordance with its duties under Article 42 of the Race Relations (NI) Order 1997. In its 2004 response to an OFMdFM consultation paper on a single equality bill for Northern Ireland, the Commission called for this duty to be applied to other categories, in recognition of the significant potential of such a duty on good relations. This remains the Commission’s position. To reflect the Commission’s role in strategic oversight of good relations, the Commission recommends to government that, the Commission’s duties to promote good relations between people of different racial groups be applied to other categories. This would reflect similar duties placed on the new Equality and Human Rights Commission (EHRC) in Britain.
The role of public authorities in promoting good relations

Review research has noted the distinction between the equality of opportunity and good relations duties. According to Trotman (2007), the relative weakness of the good relations duty, when compared to the duty to promote equality of opportunity, highlights ‘the need to clarify the legislation’. This reflects the conclusions of research by Good Relations Associates (2007) which found differing views on the relationship between the two duties, and a view from some commentators that the principle or practice of good relations ‘somehow presents a challenge to, or detracts from a commitment to equality’\(^{29}\). Dickson and Harvey (2006) referred to the views of some interviewees that recent progress with good relations may risk undermining the stronger duty on equality of opportunity. They conclude that ‘there is evidently scope for further clarification of the interdependence of equality of opportunity and good relations as well as of the Commission’s precise role in relation to the latter’.

Given the relative youth of the legislation, and the strategic focus arising from *A Shared Future*, the Commission believes that enhancing implementation of the legislation has a greater capacity to ensure the interdependence of the duties than a change to the legislation to bring parity between the duties. The Commission’s Guidance for Public Authorities in Promoting Good Relations\(^{30}\), published October 2007, places emphasis on the interdependence between the two duties; a failure to achieve one affects the ability to achieve the other. The impact of the guidance on implementation of the good relations duty will be monitored by the Commission over time.

Achieving outcomes on good relations

Analysis of five year reviews of equality schemes highlighted the need for a distinction in the Commission’s approach between monitoring compliance with the equality of opportunity duty and with the good relations duty. This is due to the difference in how the duties are presented in the legislation. Unlike the duty to promote equality of opportunity, the legislation does not require public authorities, in promoting good relations, to assess, consult on or monitor the impact of their policies on the promotion of good relations.


Up until now, the Commission has not sufficiently reflected this distinction in the progress reports it has requested from public authorities, resulting in a lack of information on progress with the good relations duty. The Commission’s guidance on good relations takes this into account and advocates the development of an action-oriented approach to good relations that sets the requirement within the overall framework of Section 75. It also shows the need to mainstream the principle of good relations in public policy development and implementation. Such an approach is entirely complementary to the development of Triennial Action Plans under the Shared Future requirements. The aim is to ensure outcomes from the good relations duty.

While the review did provide an insight into the distinct approaches by public authorities to meeting their good relations duties, it did not identify a need for a change to the legislation formally to require public authorities to engage in impact assessment regarding good relations, as they currently do on equality of opportunity. While Dickson and Harvey (2006) accept that public authorities are not expected to assess impact in this area, they go on to say ‘this does not necessarily mean that impact assessments are inappropriate in the context of good relations’. The Commission’s guidance on promoting good relations makes that point: “good relations must be an integral part of policy development and service delivery in an organisational wide approach which includes incorporation into corporate, business, and / or operational plans and objectives, with accompanying targets and performance measures”.

The equality of opportunity and good relations duties under Section 75 should be considered part of normal (core) business rather than being seen as a parallel process. It is the Commission’s view that promoting this through the revised Guide to the Section 75 Duties may be more effective in requiring public authorities to embed the promotion of good relations in the business of the organisation than a formal change to the legislation. Its value will be measured over time by the Commission and revisited as part of its ongoing review of the effectiveness of the legislation.
Good relations and local government

The review research found that measures taken by local councils are fundamental to the success of the promotion of good relations. The audit of compliance (Reeves, 2006) found leadership by Councillors to be a critical success factor to the promotion of good relations; to lead by example in terms of the policies they propose and their visible commitment to Section 75. Participants in the public engagement sessions argued strongly that while council staff are generally committed to equality of opportunity and good relations, their actions can be undermined by elected representatives taking decisions regarding particular policies that impact on good relations. They maintained that Councillors ‘set the tone’ for the local area and felt that greater sanctions should be taken against them when they undermine the principles of good relations.

The Commission recognises that the Review of Public Administration (RPA) provides a unique opportunity for ensuring that good relations principles are embedded in the structures and systems within the new councils. An interdependence exists between the duty for councils to promote good relations, the principles of good governance and the proposed system of safeguards for local government. Good governance requires committed leaders who acknowledge and accept the corporate responsibilities of an organisation. To ensure visible commitment to the principle of good relations by leaders across local government, the Commission recommends that training on equality and good relations is placed on a mandatory footing for all elected representatives and that adherence to the principles of equality of opportunity and good relations are enshrined in Codes of Conduct.

Recommendation

- In the context of the Commission’s statutory remit on good relations, the Commission recommends to government that, the Commission’s duties under Article 42 of the Race Relations (NI) Order 1997 to promote equality of opportunity and good relations between people of different racial groups be extended to other categories. This would reflect the new duties of the EHRC in Britain.
Some public authorities welcomed this recommendation and felt it would facilitate more support from the Commission in implementing the good relations duty. Other consultees confused recommendations on the extension of the Commission’s duty to promote good relations with the extension of the good relations duty itself.

In light of consultees’ views, the Commission does not aim to make any change to the substantive aim of this recommendation, however we will engage further to provide detail on how the extension of the Commission’s duty would work in practice.

### Recommendation

- **To ensure visible commitment to the principle of good relations by leaders across local government the Commission recommends that training on equality and good relations is placed on a mandatory footing for all elected representatives, and that adherence to the principles of equality of opportunity and good relations are enshrined in Codes of Conduct.**

The majority of respondents supported this recommendation in principle. The Commission has provided advice to the Department of the Environment regarding the modernisation agenda in local government, and has proposed mandatory training for elected representatives. It will continue to work with the Department to advise on the practical implications of embedding the principles of equality of opportunity and good relations in the revised Code of Conduct for Local Government.
The roles of the voluntary and community sectors

Section 75 recognises the important roles of the voluntary and community sectors in Northern Ireland, through the inclusion in its provisions of a duty on public authorities to consult with representatives of affected individuals in the production of their schemes and to consult on the likely impact of their policies. This section considers the unique role of the sectors in contributing to the effectiveness of the legislation. It is informed by McMahon (2007) research and by the views of contributors to the Commission’s public engagement sessions.

■ Bringing unique experience to the policy making process

Research by McMahon (2007) provided an insight into how the sectors see their role regarding Section 75. The sectors described their roles as three-fold; a challenge role, a role in enabling voices to be heard and a role in raising awareness within the sectors themselves. In general, the research found ‘evidence of Section 75 meaning different things to different organisations…clearly linked to issues of capacity, skills and resources within any particular organisation’.

As set out in Chapter 3, the Commission identified a difference between the sectors and public authorities in how effective they consider the sectors’ contribution to the policy making process to be. The voluntary and community sectors felt strongly that their ‘unique experience or expertise’ had not been utilised by public authorities. The majority of organisations indicated that in their experience any representations made to public authorities have not effected a change. In the research conclusions, it was noted that ‘consultation fatigue’ appears to have been replaced by ‘consultation disappointment’. This is at odds with the view of public authorities who provided a much more positive report of
engagement with the sectors, and identified ‘a long list of policies adjusted precisely because of their involvement’.

Despite the views of the sectors, the research is clear that there have been ‘not inconsiderable advances’ in relation to engagement between public authorities and the sectors, reflecting ‘tenacity on the part of the community and voluntary sectors to effect change’. The research concluded that ‘it is less evident that the community and voluntary sectors recognise the positive contribution they have made’.

It was suggested that these different views may be due to differing understandings of the aim of Section 75; with voluntary and community organisations having greater expectations of the impact of their engagement on public policy outcomes and public authorities seeing the role of the organisations as providing information on the needs of constituent groups. McMahon (2007) argues, ‘Section 75 consultation processes should seek to secure evidence-based policy making, not hearing views…there is also a tendency to confuse consultation with negotiation’. This mirrors the points made earlier in the McMahon (2007) report regarding the aim of consultations, to consult on the ‘likely impact of policies’.

The Commission has found a number of occasions where perceptions of progress or effectiveness are different across sectors. This report contains a range of recommendations aimed at resolving this issue; greater clarity on the intended impacts of Section 75, a commitment to actions within public authority schemes, re-positioning consultation as being about assessing the likely impact of a policy and greater promotion of the duties.

### Engagement with Section 75

Organisations across the voluntary and community sectors engage with Section 75 in different ways. At local level, organisations have an active engagement with public authorities that goes beyond acting purely as respondents to policy documents, extending to the development and provision of services; whereas large regional organisations tend mainly to focus their relationship with public authorities as contributors to the policy making process. It was also found that, at local community level many organisations are engaged in some manner with good relations
work and activities, regardless of their knowledge of its legislative basis, while Section 75 policy making processes are more likely to be the concern of the regional voluntary organisations.

While McMahon (2007) welcomed the practice oriented approach of the community sector, she warned that ‘unless policy and practice are seen as two sides of the same coin, there is potential for misplaced focus on process and policy outcomes while practice may fall behind’. The research viewed the role of the voluntary and community sectors in the implementation of Section 75 so far as ‘responsive rather than pro-active’. Nonetheless, lessons can be learned from this diverse approach to engagement with the legislation by the community sector.

The review research found that a difference of opinion exists throughout the sector regarding its role in representing those directly affected by policies. In carrying out her research, McMahon found an expectation within the sector that consultation with those directly affected should be carried out by, or through, the sectors. She deemed this impractical and suggestive of a ‘custodial’ or ‘guardian’ approach within the sector ‘which is at odds with its ethos’. Public authorities reported similar expectations in the audit of compliance (Reeves, 2006), but this was not found to be the case in the public engagement sessions when a number of voluntary and community sector organisations reported the importance of public authorities consulting directly with those affected by their policies.

The Commission identified missed opportunities within the sectors for greater co-ordination, in order to maximise the opportunities to influence policy making provided by Section 75. The McMahon (2007) research identified difficulties for public authorities in ensuring that all relevant groups have been included in the consultation process; public authorities see this as due to the number and differing roles of organisations within the sectors. The researcher concluded that this ‘emphasised the need for the community and voluntary sectors to be joined up in a collective approach...without detriment to the constituency of interest’.

**Recommendation**

- The Commission will consider further its role in the promotion of the duties, by working with public authorities and the voluntary and community sectors to ensure sufficient capacity amongst individuals
and organisations who wish to engage with the process.

There was general support for this recommendation, but a lack of clarity around how this would work in practice. There was general agreement of the need for further capacity building within the voluntary and community sectors, in particular for smaller community based organisations. However, consultees expressed the need for recognition that this will place an additional burden on funding and other resources, and the Commission acknowledges this point. In taking this important recommendation forward the Commission will work with public authorities and the voluntary and community sectors, to ensure sufficient capacity amongst individuals and organisations who wish to avail of the opportunities presented by Section 75 and engagement with the policy making process.

In the Commissions May 2007 consultation report on ‘Section 75 – keeping it effective’31, the Commission recommended that to ensure a consistent level of awareness across the sectors, larger voluntary organisations should play a greater role in raising awareness of Section 75 among smaller voluntary and community organisations. It was also suggested the sectors should also build a more effective approach to co-ordination, to maximise the opportunities presented by Section 75 in terms of influencing public policy outcomes.

Some respondents took issue with the Commission’s view that work is required from larger membership and umbrella organisations to promote Section 75 to smaller community organisations. Departments suggest that, instead of larger voluntary and community organisations working with smaller ones, that work should take place on a sectoral level and in a more targeted fashion. The Commission has committed to undertaking further work with public authorities and the voluntary and community sectors to ensure sufficient capacity amongst individuals and organisations who wish to engage with the policy making process. Steps will be taken to address awareness, involvement and capacity through commitments on public authorities in the revised Guide to the Section 75 duties and further dialogue with the relevant sectors to regarding advice and support will be undertaken during implementation of the Commission’s business plan activities.

31 ECNI, Section 75 Keeping it Effective – Reviewing the Effectiveness of Section 75 of the Northern Act 1998, May 2007.
In a strategic sense Section 75 relates to the operation of the overall system of governance in Northern Ireland and, in that sense, should be transformative. Section 75 placed obligations on public authorities that required substantial cultural and institutional change within the public sector. Over a relatively short period of seven years, considerable change has been made to the resources allocated for equality of opportunity and good relations work as well as to the development of public policy. This section considers the changes that have taken place and the role of leadership in ensuring the effectiveness of the duties.

■ Institutional Change

Commencement of the duties in 2000 required that public authorities initiate institutional change to meet the broad scope required by Section 75. The development of equality schemes should have ensured the integration of equality of opportunity and good relations considerations into corporate and business plans which are then cascaded down into associated objectives and tasks for all staff. However, the Commission’s analysis of five year scheme review reports found that while such an approach is increasing in frequency, it is not yet the norm.

While the Commission found some organisation-wide progress in implementing Section 75, the audit of compliance (Reeves, 2006) showed that Section 75 had not yet become a core business priority for many public authorities; ‘mainstreaming equality of opportunity and good relations was not a term widely used or employed by practitioners in

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public authorities’. Training, good communication and increased partnership working should have led to equality thinking now being commonplace or ‘second nature’. Processes and procedures should have been developed to ensure consistent application of the equality duties. Staff should be encouraged to think about the duties in the context of their own responsibilities, rather than leave it to a designated officer.

While a number of public authorities have effectively implemented such changes, the majority of public authorities have not implemented the level of institutional reform required to ensure effective implementation of the duties.

However, an increasing number of public authorities have begun to set specific equality objectives which are measured at a senior level in the organisation. This corroborates research into the impact of Section 75 on public policy (Bridge, 2007) which found that a number of public authorities interviewed support the business case for equality of opportunity and good relations. The finding is encouraging, given the recommendations regarding equality outcomes made earlier.

The extent to which Section 75 is considered core business is particularly evident in the level of resources allocated to meet the duties. The institutional change within organisations required by the legislation has had an impact on resources in terms of people, time and money. On a practical level, Section 75 has made the policy making process more resource intensive. Effective consultation entails wide publication of notices, the development of documents in alternative formats and hosting public meetings. Effective monitoring is dependent on the availability of resources to gather data, to carry out quantitative and qualitative research and places demands on technological capacity within an organisation.

The audit of compliance (Reeves, 2006) found that initial resources allocated within government departments were not sustained or that initial programmes had not been realistic in scope. The impact has been felt on ‘high level’ policies, where efforts have been directed into explaining why EQIAs were not possible, rather than examining how they could be done. The above research further found that locating staff responsible for equality of opportunity and for good relations, respectively, in different teams, may have created a competition for resources. In general, there have been inconsistencies in the level of
human resources allocated to implementation of Section 75; the audit of compliance (Reeves, 2006) found that, as a result, expertise within equality units was mixed.

According to the researchers, ‘staff levels and expertise determined whether a reactive or proactive approach (to the duties) was taken’. The positioning of the Equality Officer or Good Relations Officer, or their line manager, on senior management teams was found to influence whether Section 75 considerations were included in strategic decisions. Similarly, where equality units are located in central policy or planning directorates, equality personnel find it easier to influence and keep track of policy developments, since communication lines are shorter.

The development of measurable actions within equality schemes, linked to corporate plans and within departments, to single strand strategies, will require public authorities to be strategic in allocating resources to promoting equality of opportunity and good relations. The Commission will assess the level of resource commitment attached to the actions identified.

Cultural change

The introduction of institutional change, albeit in varying degrees, should have resulted, over time, in the kind of cultural change within public authorities that espouses a corporate approach to the promotion of equality of opportunity.

Changes brought about due to consultation have transformed the way public policy is developed. According to the audit of compliance (Reeves, 2006), ‘the scale of this culture change is important to recognise’. The researcher also identified that public authorities, ‘were not fully accustomed to complying with a piece of legislation which was about promoting equality of opportunity rather than eliminating discrimination’, with a recognition of the cultural change required in taking an anticipatory approach to equality of opportunity.

The research also recognised the momentum created by the legislation. The audit of compliance (Reeves, 2006) found that, ‘the desire of public authorities to be seen as progressive influenced their commitment to the aims of Section 75’.
Leadership

The institutional and cultural changes brought about by Section 75 have been generally positive, albeit slow. In carrying out this review, the Commission has observed the central role of leadership in bringing about those institutional and cultural changes, by driving commitment to Section 75. Proactive leadership has been seen to impact positively on institutional change, which can be immediate, and on cultural change, which is more gradual and develops over time.

Successful implementation of Section 75 in government departments is dependent on commitment from Ministers and from senior staff at policy and operational levels. The role of management boards is critical in ensuring a corporate approach to implementation of the duties. The Commission has identified high levels of inconsistency in terms of how Section 75 has been embedded institutionally and culturally within organisations generally, whether commitment goes beyond simply signing the equality scheme or attaching resources in terms of senior staff. Implementation suffers where there is a lack of clarity regarding responsibility for Section 75 obligations within an organisation or where sufficient distinction is not made between strategic oversight for Section 75 and functional responsibility for implementation.

The issue of leadership in driving compliance and ultimately in promoting equality of opportunity and good relations is particularly pertinent within local government and government departments. Research by Trotman (2007) points to OFMdFM’s important role in driving commitment to Section 75 within government departments. Analysis of scheme review reports, as well as findings from the audit of compliance (Reeves, 2006), have shown that tensions between political parties at elected representative level on issues such as flags and emblems have provided an obstacle to the effective implementation of the duties; elected representatives were found to have ‘severely limited the activities which could be undertaken’.

According to the audit of compliance (Reeves, 2006), ‘there was concern that this group may not have fully appreciated the requirements and responsibilities of Section 75 and the positive benefits it could bring to service delivery’. It is particularly worrying to see that in a small number of councils, the commitment of staff to the duties is not matched by elected members, who have approved policies at council meetings
without giving consideration to the outcomes of equality impact assessments. Similarly, research by Bridge (2007) found within some government departments, Section 75 is viewed at a senior level as a bureaucratic tool and this has had a negative impact on how equality and good relations are mainstreamed in public policy. Some departments consider EQIAs inappropriate for so called ‘high level’ policies or strategies as they were deemed ‘not specific enough to be subject to assessment’.

Trotman (2007) and the audit of compliance (Reeves, 2006) both found evidence of a lack of leadership at Ministerial level, whereby insufficient regard has been paid to the Section 75 duties. The suspension of devolved government has affected the implementation of Section 75. Trotman (2007) found that ‘direct rule ministers are distinguished largely by a lack of commitment’ when compared with local ministers who were ‘more familiar with the inequalities within the Northern Irish context and perceived to be more committed to the detailed implementation of Section 75’. McMahon (2007) also touched on this point, referring to a view within the voluntary and community sectors that engagement with Section 75 has been much more difficult under direct rule, stemming from a lack of political commitment to the legislation. Certainly, there is evidence of varying levels of visible commitment to Section 75 among direct rule ministers and their counterparts under devolution.

Trotman (2007) found that operation of the policies, processes, structures and systems within NIO in relation to equality of opportunity and good relations are not always well defined. The research pointed to the need for more effective processes to ensure positive leadership in respect of Section 75.

**Recommendation**

- The Commission will reflect the issues of leadership and embedding the duties in core business in a framework for compliance; it will assess the progress made by public authorities in meeting their duties according to measures taken in this area.

There was no unfavourable feedback on this proposal and the Commission intends to progress this recommendation as part of its compliance work in the coming period.
**Recommendation**

- *The Commission will specifically monitor the role of government departments in driving compliance with the duties by their associated public authorities.*

The responses to this recommendation highlighted a key difference of opinion between departments and other public authorities regarding the role of the former in driving compliance. Clearly there is work to do to promote the principle of leadership within public authorities, and to work with departments to agree a leadership model that appropriately reflects their role as sponsors of other organisations. The issue of leadership was one of the central themes of the review. For a number of years the Commission has monitored practice and seen the benefits of good leadership in terms of scheme compliance. The Commission will therefore include leadership as it takes work forward on developing a compliance framework. It will also develop the issue in revised guidance on equality schemes. Finally under this section the Commission will also consider comments received in relation to its own role in providing leadership on equality and good relations as it engages with political and civic leaders in the coming period.
Promotion of Section 75

Awareness and understanding of Section 75

The engagement sessions as part of the review confirmed previous research from the Commission which found a lack of awareness among the public of Section 75\textsuperscript{33}. This lack of knowledge seems widespread but is particularly evident in traditionally excluded groups such as people with disabilities, the very young and old, and ethnic minorities.

Contributors pointed to a range of cultural and language barriers that prevented people who are deaf and blind and people with learning disabilities from understanding Section 75 and from engaging in the policy making process. According to contributors to the review, individuals whose first language is not English, have experienced difficulties in engaging with Section 75. Contributors argued that the Commission must be more effective in enforcing the requirement on public authorities to be accessible to people within all the equality categories.

Lack of engagement with Section 75 may be symptomatic of a general lack of knowledge amongst the public of the public policy process, and a resultant apathy in contributing to the process, or to the machinery of government in general. It is important, in this context, to maximise the opportunities provided by Section 75 to increase public engagement in decision-making.

The Commission has a critical role in promoting the potential and actual benefits of Section 75, as well as how it can be used to bring about positive change to peoples' lives. It is likely that greater promotion of Commission investigations and Commission enforcement would promote the level of change which Section 75 can effect. Work is required to promote the provisions of the legislation so that there is an understanding of how it works and what it should achieve.

Promotion of Section 75 by the Commission

Dickson and Harvey (2006) recognised that the Northern Ireland Act 1998 Act does not impose a specific duty on the Commission to promote the Section 75 duties, but consider it reasonable to imply such a duty into the more general duty to offer advice. The Bridge (2007) research found that a large number of public authorities have seen the benefit of Section 75 as ‘amounting to good business practice’. The research recommended that the Commission should continue to build on the awareness of the need for Section 75 and develop its role in disseminating good practice. The audit of compliance (Reeves, 2006) concluded that an important foundation has been laid on which to build; the Commission must play a role in sharing practice in the future.

Voluntary and community sector organisations consider equality of opportunity and good relations as concepts of value and utility to their work; however, this is not matched by a broad awareness or understanding of what Section 75 actually is or of the role it plays. The research found low levels of awareness among local community organisations and high levels among regional or sub-regional organisations, particularly those working with equality categories, such as age, disability, etc. McMahon (2007) research identified a need for on-going education on Section 75 within the sectors and for mechanisms to facilitate better internal transfer of information; ‘the undoubted expertise which exists within the sector needs to be disseminated throughout it’. The research recommended ‘collaborative working among the Commission, public authorities and regional voluntary organisations to improve the profile of Section 75 among locally based community organisations’. However, the research also recognises the role of large regional or sectoral organisations in bringing about positive change; ‘there is a need for large membership organisations with policy officers to work with community organisations at a local level’.
Dickson and Harvey (2006) referred to the Commission’s need to promote Section 75 if it is to enhance its effectiveness. ‘Clearly the Commission (and the government) need to do more to increase the general public’s awareness of Section 75’.

The Commission considers the promotion of the Section 75 duties as an integral element of the Commission’s continuum of powers and duties, from advice through to monitoring and enforcement. The recommendations below aim to maximise the effectiveness of the Commission’s role in promoting the duties.

**Recommendation**

- The Commission considers the promotion of the Section 75 duties as an integral element of its continuum of powers and duties, from advice through to monitoring and enforcement of the duties. On that basis, the Commission will consider how best to focus on the promotion of the Section 75 duties, with two aims:
  - to increase public awareness of Section 75, its benefits and what it should achieve;
  - to ensure that public authorities identify the inequalities which exist, so as to enable them to introduce policies to promote equality of opportunity.

There was overwhelming support for the proposition that the Commission more effectively promotes Section 75. The Commission will review its work to promote Section 75 in the coming period, with the aim of mainstreaming the duties into wider promotional work. Particular emphasis will be put on creating a more readily identifiable image for the positive duties set out in Section 75, which can be connected to the work of the Commission and others involved in Section 75 implementation. The aim will be to simplify and personalise the key benefits to the public and to maintain this issue within our public relations work.
Recommendation

- The Commission will remain proactive in ensuring all documents are available and advertised in different formats, as well as enforcing much more strongly the requirement on public authorities to reach out to all equality categories.

There was no unfavourable feedback on this proposal and the Commission intends to progress this recommendation in the development of new guidance and as part of its compliance work in the coming period.
Section 75 requires public authorities to have due regard to the need to promote equality of opportunity in respect of nine categories and to have regard to the desirability of promoting good relations in respect of three categories. This section considers the extent to which this ‘closed list’ system, whereby the duties apply to specific categories, has had an impact on the effectiveness of the legislation.

Applying the duties to specific categories

The Commission found evidence that some policy-makers interpret Section 75 as requiring equal treatment, for example, that a particular service should be provided across the categories in exactly the same way. Section 75 was not introduced to bring about parity between disabled and non-disabled people, between women and men, but to introduce positive measures to promote equality of opportunity for those categories that have experienced inequality. It is for this reason that the Commission’s guidance requires public authorities to consider the potential impact of their policies and where adverse impact is identified, mitigating measures and alternative policies are brought forward. The Commission will ensure that implementation of the recommendations regarding streamlining the policy appraisal process will provide clarity to public authorities in this instance.

On a practical level, some contributors to the review reported public authorities ‘forcing individuals into categories’, e.g. a deaf woman attending a focus group will automatically be put in the ‘disabled box’ and not with other women or with carers, etc. In this respect, authorities are missing an opportunity to think across the categories in a multi-dimensional way.
Research by Dickson and Harvey (2006) found that, in meeting its duties under Section 75, the Commission did not give disproportionate attention to one equality of opportunity or good relations category over another. However, participants to the review reported a sense among the public that some categories have benefited more than others. Public authority staff accepted the perception that some categories may have ‘done better than others’, but they attribute this perception to the legacy of the anti-discrimination legislation. However, they were also aware that some categories are perceived to do better because their representative organisations are well resourced and have the ability to ‘shout the loudest’. Public authorities agreed that more work needs to be done to publicise the positive impacts of the legislation across the categories. The Commission will consider actions which it could take with public authorities in this area.

Extension of the categories

On the basis of the engagement discussions, there was some support for the extension of the legislation to include consideration of the impact of policies on socio-economic status and on whether individuals live in rural or urban areas. The research commissioned as part of the review did not, however, identify the need for expansion of the equality of opportunity or good relations categories at this time.

Public authority staff differed in their response to the question regarding the appropriateness of the current set of categories. Some called for the extension of the provision of the legislation to cover people from different socio-economic backgrounds, but pointed out that such an approach would require a fundamental shift in government policy. Other staff argued that the extension of the categories would represent excessive change to the legislation too early on in its lifetime. They argued that successful implementation of Section 75 should ensure equality of opportunity for all, and that focusing on extension of the categories would have the adverse impact of ‘diluting’ the duties or of taking attention away from meeting the aims of the legislation.
Public authority staff accepted the risk that some categories could be excluded from the process of engagement or consultation unless the authority is proactive in seeking their involvement. To this end, some public authorities advocated that consultation focus groups are ‘issues led’ rather than categories led, e.g. ‘meeting with a group of older people’. Discussing the issues increases the chance that the public will see the discussion as relevant to them.

**Recommendation**

- *The Commission will consider the extension of the equality of opportunity and good relations categories in the coming period of implementation of the duties.*

The vast majority of consultees agreed that the legislation should not currently be amended to extend Section 75 to other categories, however, some felt that expansion to include socio-economic categories and rurality should be considered in the coming period. As part of its ongoing duty to keep the effectiveness of the legislation under review, and in light of future steps by public authorities to measure outcomes for the equality and good relations categories, it is appropriate that the Commission considers whether Section 75 would be more effective if changes were made to the categories listed in the legislation.
The relationship between the public and private sectors

Section 75 applies to public authorities designated for the purposes of the legislation, thus underlining the role of the public sector in promoting equality of opportunity and good relations. But the nature of the public service is changing. A maturing society, a changing policy environment, external economic factors and different perceptions of need, all have a continuing impact on the form and function of public authorities in Northern Ireland. The Review of Public Administration is a vivid example of such a process in action. Other areas of change are also evident whether in the joint funding of investment, the joint management of projects or the entrusting of areas of public life to the private sector.

These latter developments in particular not only reflect significant changes of direction in terms of policy and operational practice. They also highlight the fact that the pursuit of public policy in respect of equality and good relations no longer concerns only the public service. By extension, the application of Section 75 cannot be confined “within the walls” of public authorities.

The legislation was intended to ensure that in the making and implementation of policy decisions, the principles of equality and good relations would be at the heart of the process i.e. would be mainstreamed. This fundamental intention cannot be displaced or set aside by a change in arrangements for the funding or delivery of the consequences of the policy decision.

This is not to argue for an invasion of the private sector by unreasonable and non-commercial considerations. The private sector, in the private sphere, does not have an obligation to embrace Section 75. However the private sector in providing public services, by public commission, at
public cost, is an entirely different set of circumstances. The public authority, at whose instigation a service is being provided by a private concern, is in a continuing relationship subject to the requirements of Section 75.

The Equality Commission is very clear in its view that the commissioning of services from an external source or the joint management of any such service is neither an opportunity to dilute a public authority’s Section 75 duties nor, less still, an entitlement to be exempt from them. Were it otherwise, the intentions of Parliament would be frustrated by the expedience of external commissioning of public services. Similarly, it would be a denial of the intentions of the legislation if people enjoyed differing rights or entitlements in respect of publicly funded services based only on the identity of the service provider.

Given the increasing role of the private sector in the provision of public services, some commentators have begun to consider the role of the private sector in promoting equality of opportunity, and in particular, the extent to which the Section 75 duties affect the relationship between public authorities and the private sector in the public procurement process.

McCrudden (2004) has argued that since Section 75 is a positive duty, it requires that ‘where a public authority knows, or ought to know, of a real and immediate risk to a particular individual or group, there is an obligation on it to take reasonable steps to address that risk’34. He further proposes that the duty, in a broader sense, also requires public authorities to work with private sector bodies to advance equality of opportunity.

The Section 75 duties apply to all the functions of a public authority. The Commission’s statutory guidance is clear that this ‘covers all the ways in which a public authority carries out or proposes to carry out its functions relating to Northern Ireland…an authority’s employment and procurement policies are an integral aspect of the way in which a public authority carries out its functions. Accordingly the (equality) scheme must cover the arrangements for assessing the impact of such policies’. Clearly, there is an obligation on public authorities to assess the equality implications of individual procurement initiatives; from the decision to

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procure a particular service right through to the details of the contract and delivery of the service.

However, there are limits to the measures required by public authorities, and as McCrudden argues, ‘where those limits lie precisely is as yet unclear’. The Commission’s *Guidance on Equality and Sustainable Development Considerations in Public Sector Procurement*[^35], produced jointly with the Central Procurement Directorate, aims to provide clarity regarding the extent of the measures required by public authorities.

The guidance indicates that ‘as a public policy process, public procurement provides a valuable and challenging opportunity that puts equality (of opportunity) and sustainable development considerations at the heart of the work of public authorities’. The guidance has been written at a time when the scale of investment in infrastructure in Northern Ireland offers unique opportunities to use the procurement process to promote equality of opportunity. Economic policy objectives and the objectives of Section 75 are not mutually exclusive; rather they are complementary in the achievement of a just, stable and cohesive society.

The Commission is clear that the effectiveness of Section 75 depends not just on how public authorities comply with the duties in direct provision of services, but in how they ensure the private sector, through public procurement, promotes equality of opportunity.

The statutory duties placed on public authorities by Section 75 were clearly intended to cover all the functions of public authorities; including public procurement. The recent Equalities Review[^36] in Britain proposed that a new public sector positive duty should incorporate a specific requirement for public bodies to use procurement as a tool for achieving greater equality. The Commission considers the Section 75 framework is sufficiently robust to ensure that equality of opportunity is at the heart of public sector procurement and is not at this point recommending that a specific obligation on public authorities is required.

In taking an inclusive approach, whereby the Section 75 duties are relevant to all public authority functions and policies, the legislation is suitably flexible to provide for the changing role of public authorities in procuring services from the private sector, to meet evolving public need. However, this emerging role for public authorities will take time to unfold. In continuing to review the effectiveness of the Section 75 duties, the Commission will promote its guidance on equality considerations in public sector procurement and monitor, over time, whether the clarity it provides has had a positive effect on the promotion of equality of opportunity in private sector delivery of public services. The Commission will also consider the extent to which these considerations ought properly to be addressed in equality schemes.

**Recommendation**

- *The Commission considers the Section 75 framework as sufficiently robust to ensure that equality of opportunity is at the heart of public sector procurement and is not, at this point, recommending that a separate specific statutory obligation on public authorities is required.*

The majority of respondents accepted the Commission’s view that Section 75 is sufficiently robust to ensure that equality of opportunity is at the heart of public sector procurement. A number of respondents welcomed the then forthcoming joint Equality Commission / Central Procurement Directorate guidance on equality and sustainability in public sector procurement.

Following publication of this Guidance in 2008, the Commission will be targeting advice at public authorities on embedding equality in public sector procurement and monitoring implementation of the guidance. The Commission will also seek to identify and disseminate good practice in the consideration of equality of opportunity and good relations as regards procurement.
The Commission’s first strategic review of the effectiveness of the legislation was an invaluable exercise, and one which the Commission will seek to build on in the coming period.

Respondents to the consultation report were generally in agreement that more regular reviews of the effectiveness of the legislation would be more useful to public authorities than a strategic review every few years. This is entirely in line with the Commission’s recommendation and on that basis the Commission will monitor the impact of the proposed changes as part of its duty to review the effectiveness of the legislation. This will inform any future consideration of changes to the legislation.

**Recommendation**

- The Commission will monitor the impact of the proposed changes as part of its duty to review the effectiveness of the legislation. This will inform future consideration of changes to the legislation.
Section 75 is intended to transform the practices of government to achieve equality of opportunity for all. In a relatively short period of time, it has indeed been effective in achieving something of a transformation in the development and delivery of public policy. Section 75 has effected substantial cultural change in the institutions of government and in particular, in how public policy is made. Public authorities have worked hard to get the process right and have benefited greatly from the considerable efforts of others. The voluntary and community sectors and the public have contributed a great deal to steps by public authorities to identify needs among the equality and good relations categories. However, a sea change is now required to ensure that Section 75 fully achieves its intentions.

The effectiveness of the duties should be measured primarily in terms of the benefits derived from the impacts on the lives of individuals. This review has found that much work is required in the coming years to identify more clearly the outcomes to be achieved from the legislation, and to set targeted actions for their achievement. The Commission will help to direct the actions of public authorities in this area and to refocus energies and resources on the duties within the legislation, as regards the promotion of equality of opportunity and good relations.

Prompted by the terms of reference for the review, the Commission considered whether changes are required to the legislation in order to enhance its effectiveness. Legislative change was considered in the context of its potential to achieve greater outcomes, but neither the findings from the research nor the contributions from individuals and organisations advocated such an approach. In general, the Commission’s recommendations are focused on the need for a shift in
interpretation of the legislation, away from process and towards outcomes and also towards enhancing the role of the Commission in its strategic enforcement of the duties. The Commission believes that these changes should be embedded and assessed in advance of any substantive changes to the law. Support for Section 75 is high; the Commission believes that this will be sustained as people experience its benefits over time.

To be effective, the legislation must reduce and ultimately remove barriers to equality. In the coming months, the Commission will work with public authorities to build on good practice in leadership while also using its enforcement powers to realise evident and meaningful outcomes for individuals and for equality of opportunity and good relations in general. The aim is to continue to build a culture of commitment to achieving the benefits envisaged by the enactment of the provision.

Implementation of the recommendations will be a matter for the Commission and Government in the coming period. Work has already begun on implementing key recommendations as reflected in the Commission’s Business Plan. Priority will be given to developing the revised Guide to the Statutory Duties, which will include detailed advice on equality assessing the impact of high level policies and will be supported by a standard of compliance.

The Commission is committed to maintaining engagement with a range of individuals and organisations as it implements changes, including political leaders, the Senior Civil Service, Chairs and Chief Officers in public authorities and in the voluntary and community sectors.

We will continue to ensure use of Section 75 as an effective policy tool that supports the achievement of positive equality outcomes, i.e. compliance with S75 is a means of securing those outcomes, not an end itself. The Commission’s contribution to this shift will include our work with relevant public bodies to ensure progress with addressing the inequalities highlighted in our Statement on Key Inequalities37. We anticipate reference to such inequalities in actions contained within public authorities’ equality schemes.

37 ECNI, Statement on Key Inequalities in Northern Ireland, October 2007.
We will review the timeliness of our interventions so that our leadership on equality and good relations is fully reflected. We will also clarify and promote our expectations on leadership and seek to strengthen a culture of leadership on Section 75 within Government and across the public sector.

Building increased understanding and knowledge of the benefits of Section 75 will be a key consideration for the Commission, not only in relation to public authorities and voluntary / community sector groups. The Commission intends initially to produce a revised Guide on the form and content of equality schemes. It will also consider options for requesting revised schemes from public authorities in a purposeful way, mindful of the Review of Public Administration.

Over the coming three year period the Commission intends to adopt a strategic approach to what is in effect a major change process, communicating with the full range of stakeholders as we embed the changes to keep Section 75 effective.
Annex One: Effectiveness review
terms of reference

Schedule 9(1) (a) of the Northern Ireland Act states that, ‘The Equality Commission shall keep under review the effectiveness of the duties imposed by section 75’.

Responsibility for carrying the review clearly lies with the Commission. However, the legislation is not prescriptive on:
- how the review should be carried out,
- whether or not the review should have independent status,
- the involvement of other stakeholders and
- the scope of the review.

The Commission had always intended to undertake a strategic review of the effectiveness of Section 75; the 2003 Corporate Plan made a commitment to do so in 2006. This would coincide with learning opportunities derived from the clearly separate but inter-related first statutory five year review of individual equality schemes to be undertaken by relevant designated public bodies.

The scope of the review

1. The scope of the review will be considered on the basis of what the Commission must do to meet its statutory duty to keep the effectiveness of Section 75 legislation under review.
2. It should not go beyond the parameters of the current duties.
3. It should cover whether the objectives of the legislation have been met.
4. The scope of the review should be considered on the basis of what is practical. In other words, not progressing with an ambitious and complex review that would not meet external expectations.
5. It should not duplicate the work of the operational review (2004), which considered the processes involved in meeting the section 75 duties; this review should consider the impacts and outcomes (the extent of the positive or negative effects) of the duties.
What opportunities does the review provide?

The review affords the Commission a number of key opportunities:

• To gain a strategic overview of implementation
• To research the impact and outcomes provided by the Section 75 legislative framework; in other words, to find out whether Section 75 has met its policy intentions. This would shift the emphasis of implementation away from processes towards outcomes; a consideration of the difference which the duties on public authorities with regard to equality of opportunity have had on those individuals as set out in Section 75(1), and the duties with regard to good relations on those persons as set out in Section 75(2).
• To allow the Commission to develop a strategic framework for measuring progress. The Commission could use a series of benchmarks to measure progress as part of future (regular) reviews.
• Clarification of the objectives of the legislation and a shared understanding of concepts such as equality of opportunity, outcomes and mainstreaming.
• To increase momentum, engagement with and support for the legislative framework.
• Finally, it will allow for positive debate around the current and future success of section 75.

How do we assess effectiveness?

To be effective the legislation must have a positive impact on the lives of individuals across the equality categories. For the purpose of this review, the Commission is assessing effectiveness in terms of the impacts and outcomes achieved for the nine equality categories in terms of equality of opportunity and the three categories in terms of good relations.

This strategic review will be distinct from the annual progress reports submitted by authorities. The annual reports focus on progress within authorities, in meeting their duties; however they do not measure the impact and outcomes on individuals.
Agreed terms of reference for the review

To review the effectiveness of the duties on public authorities as set out in Section 75 of the Northern Ireland Act 1998; in terms of the impact which their discharge has on the development of public policy, on the provision of services and on the practical outcomes for the nine categories insofar as promoting equality of opportunity is concerned and for the three categories insofar as promoting good relations is concerned.

To consider whether any issues arise for consideration by the Commission itself or on which it might wish to make recommendations to Government.

Objectives of the review

Section 75’s effectiveness is dependent on public authorities. The Equality Commission for Northern Ireland, OFMdFM, and other stakeholders, e.g. the voluntary sector. The review will therefore consider the roles and responsibilities of these stakeholders.

1. An assessment of the extent of impacts, equality outcomes and life improvements for each of the nine categories with regard to equality of opportunity and for each of the three categories with regard to good relations, as set out in section 75 of the Northern Ireland Act 1998. Effectiveness should be measured in terms of:
   - the extent to which development of public policy is different to what otherwise would have been;
   - the extent to which a range of public services are different to what otherwise would have been; and
   - the extent to which the practical lives of people are different or at least not worse than would otherwise have been.

2. To assess how far public authorities have driven Section 75 as a core business priority, as a means of mainstreaming equality of opportunity and good relations. This should include an assessment of how policies are made and implemented. This will require an independent audit of compliance to include an audit of consultation practice.
3. An assessment of the Commission’s powers to implement the legislation, and how the Commission has conducted the role set out for it in the legislation, with a view to enhancing effectiveness. This should include a review of the Commission’s enforcement powers; and consideration of the effectiveness of the legal remedies as set out in Schedule 9 of the N.I. Act 1998. It should further consist of an assessment of the timeliness, adequacy and impact of the Equality Commission’s interventions; assessing if the portfolio of advice, promotion and enforcement is still relevant to allow the Commission to carry out its duties as set out in legislation.

4. To consider the role and effectiveness of OFMdFM in promoting and securing implementation of section 75.

5. To consider the contribution of the voluntary sector in representing the views of persons likely to be affected by the duties.
Annex Two: References

Chaney, P. and Rees, T. The Northern Ireland Section 75 Equality Duty: An International Perspective, 2004

Dickson, B and Harvey, C. An assessment of the role of the Equality Commission in the Effectiveness of Section 75 of the Northern Ireland Act 1998, 2006


ECNI: Equality of opportunity and Sustainable Development in Public Sector Procurement, 2008


ECNI: Section 75 Keeping it Effective, Reviewing the effectiveness of Section 75 of the Northern Ireland Act 1998, May 2007

ECNI: Statement on Key Inequalities in Northern Ireland, October 2007

Equality Mainstreaming: A Perspective from the Equality Bodies, Equinet European Network of Equality Bodies, 2006


Good Relations Associates, Embedding Good Relations in Local Government: Challenges and Opportunities, 2007


McMahon, M. Assessing the Roles of the Voluntary and Community Sectors in Contributing to the Effectiveness of Section 75, 2007

O’Cinneide, C. Equivalence in Promoting Equality, The Equality Authority, 2005


Office of the First Minister and deputy First Minister: A Shared Future: Policy and Strategic Framework for Good Relations in Northern Ireland, March 2005


Reeves Associates, Assessing the Impact of Section 75 of the Northern Ireland Act 1998 on Individuals, 2007


Simon Bridge Associates, Assessing the Impact of Section 75 on the Development of Public Policy, 2007

Trotman, A. Assessing the Role of OFMdFM in contributing to the Effectiveness of Section 75 of the Northern Ireland Act, (2007)

Annex Three: Written consultation responses received

Details of the actual report on the outcomes of the Section 75 Effectiveness Review consultation process can be found on the Commission’s website www.equalityni.org

Access to Benefits for Older People
Age Concern
Belfast Healthy Cities
Belfast Health and Social Care Trust
Campaign for the Administration of Justice
Carers Northern Ireland
Carers UK, Belfast Central Branch
Community Organisations of South Tyrone and Areas
Commission for the Administration of Justice
Consumer Council (NI)
Craigavon Borough Council
Department of Agriculture and Rural Development
Disability Action
Down District Council
Dungannon and South Tyrone Borough Council
Equality Practitioners Group (cross departmental group)
Eastern Health and Social Services Board
Lisburn City Council
Local Government Staff Commission for Northern Ireland
Newtownabbey Borough Council
Northern Ireland Public Service Alliance
North Down Borough Council
Northern Health and Social Care Trust
Northern Ireland Housing Executive
Northern Ireland Office
Northern Ireland Rural Women’s Network
North West Institute of Further and Higher Education
Office of the Civil Service Commissioners for Northern Ireland
Omagh District Council
Rural Community Network
Southern Health and Social Services Trust
Stella Gilmartin
The British Library (confidential response)
The William Keown Trust
Ulster Unionist Party
University of Ulster
Women’s Resource and Development Agency
Women’s Support Network

A response from a consortium of equality representatives from the HSC Agencies and Special Bodies, including:
NI Blood Transfusion Service
Central Services Agency
Health Promotion Agency for NI
NI Regional Medical Physics Agency
NI Medical and Dental Training Agency
NI Practice and Education Council for Nursing and Midwifery
NI Social Care Council

A response from the Eastern Area Equality Best Practice Forum submitted on behalf of:
Eastern Health and Social Services Board
Eastern Health and Social Services Council
Belfast Health and Social Care Trust
South Eastern Health and Social Care Trust
Northern Ireland Ambulance Authority

A response from the Western Equality and Human Rights Forum submitted on behalf of:
Western Health and Social Care Trust
Western Health and Social Services Board
Western Health and Social Services Council
Annex Four: Consultation roundtables and meetings

Public Roundtable, Antrim
Public Roundtable, Cookstown
Public Roundtable, Newry

Meeting with the Equality Coalition
Meeting with Carers NI
Meeting with Rural Community Network and Northern Ireland Rural Women’s Network
Meeting with MENCAP
Meeting with UUP
Meeting with SDLP
Meeting with Sinn Fein