**EQUALITY SCHEME APPROVAL PROCESS**

**Desk Audit Form**

Public Authority’s name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Statutory Submission Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date Scheme submitted \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Officer’s name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date desk audit undertaken: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

The statutory purpose of an equality scheme, and the content which it must contain, is specified in **Schedule 9 of the Northern Ireland Act 1998**. The statutory purpose is that ***it must show how the public authority proposes to fulfil its duties under Section 75*** (i.e. how it proposes to give “due regard” and “regard” to the relevant *equality of opportunity* and *good relations* considerations) [**Schedule 9, paragraph 4(1)**].

To ensure that a scheme satisfies the statutory purpose, Schedule 9 provides that it must satisfy or contain certain prescribed minimum elements/criteria **[Schedule 9, paragraph 4(2)(a)-(f) and 4(3)(b)-(c)]**. These elements/criteria are set out in the “red” questions below.

An equality scheme must also conform to any guidelines as to form and content which are issued by the Equality Commission with the approval of the Secretary of State [**Schedule 9, paragraph 4(3)(a)**]. This refers to guidelines contained in Chapters 5 to 7 of the Commission’s principal S75 Guide issued in April 2010.Form and content relate to the statutory requirements of Chapters 5,6,7 of the Commissions Guide and should not be considered to encompass the non statutory recommendations.]

A scheme cannot be approved unless the answers to all of the **“red”** questions are ***“yes”***.

Key:

* + Red and underlined text are the requirements of an equality scheme as set out in Schedule 9 of the Northern Ireland Act.
  + Blue and standard text are both the requirements and recommendations as set out in Chapters 5, 6 and 7 of the Commissions Guide
  + Green and *italics* text is good practice as set out in the green chapters of the Guide and other Commission guidance.
  + Black text is headings and guideline text for completing the desk audit.

Version Date: 9th June 2011

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| **Foreword and Chapter 1 Introduction**  General introductory statement equates to the foreword and chapter 1 introduction of the model scheme. Commitments can be in either the foreword or introduction. | | | |
| **Model**  **Scheme**  **Chapter & Para** | **Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
|  | Foreword |  |  |
| F para 1 | * summary outline of the duties |  |  |
| F para 2 and ch 1 para 1.2 | * purpose of the scheme, specifying that the scheme will relate to how the public authority carries out all its functions, powers and duties relating to NI |  |  |
| F para 3 ch 1 para 1.3 | * commitment to the allocation of the necessary resources in terms of people, time and money to ensure duties are complied with and scheme is implemented effectively and on time |  |  |
| F para 4 | * commitment to effective internal arrangements to ensure compliance and for monitoring and reviewing progress |  |  |
| F para 5 | * commitment to the development and delivery of a planned programme of communication and training for staff *and board members* on the equality scheme/commitments made |  |  |
| F para 5 | * *to develop a programme of awareness raising for consultees on the duties and commitments made in the scheme* |  |  |
| F para 6 | * *Senior level commitment to fulfilling duties across all functions (including service provision, employment and procurement) through the effective implementation of the scheme* |  |  |
| F para 7 | * *Statement on the role of the voluntary, community and general public on the effective implementation of the duties* |  |  |
|  | * *Statement that people directly affected by pa failure to comply with the scheme can make complaints* |  |  |
| F para 8 &9 | * Endorsed and signed by the Minister and Permanent Secretary or Chair and Chief Executive |  |  |
| Ch 1 para 1.1 | Introduction   * Legislative outline of the duties |  |  |
|  | * Functions of public authority includes‘ power and duties’ and covers employment and procurement functions |  |  |
| Ch 1 para 1.2 | How we propose to fulfil the Section 75 duties in relation to relevant functions   * Purpose of the scheme (see above) |  |  |
| Ch 1 para 1.3 | * Commitment to discharge S75 obligations in all parts of the organisation (see above) |  |  |
|  | * Commitment to necessary available resources in terms of people, time and money to ensure duties are complied with and scheme can be implemented effectively |  |  |
| Ch 1 para 1.3 | Who we are and what we do   * *Overview of the organisation* *(to include employment and procurement)* |  |  |

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| **Schedule reference**  (listed in model scheme) | **Compliance Information**  (Foreword and Introduction) | **Yes / No / ?** | **Comments** |
|  | Are all of the blue parts of the model scheme checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| No schedule requirement  Guide recommendations pg 35 | The Commission recommends that a general introductory statement includes the following:   * An outline of duties and purpose of scheme * Allocation of the necessary resources (people, time and money) * Effective internal arrangements for monitoring and reviewing progress * Planned programme of communication and training on the equality scheme. * Signatures of Chief executive and Chairperson (or equivalent) |  |  |
| **Assessment of Compliance:**  There is no requirement in the schedule to have such a section however there are a series of recommendations in the Commissions Guide. Does this section of the public authority scheme meet the recommendations of the Guide? Yes / No  Explain why, and make other observations if appropriate: | | | |

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| **Chapter 2 – Arrangements for assessing compliance with the Section 75 duties**  Schedule 9, paragraph 4(2)(a) | | | |
| **Model**  **scheme**  **Chapter & Para** | **Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
|  | Arrangements for assessing compliance with the Section 75 duties |  |  |
| Ch 2 para 2.1 | * *Cross references to parts of scheme which outline public authorities arrangements for assessing compliance* |  |  |
|  | Responsibilities and reporting |  |  |
| Ch 2 para 2.2 | * Committed to the fulfilment of S75 in all parts of public authority work |  |  |
| Ch 2 para 2.3 | * Clear lines of responsibility outlined |  |  |
|  | * Primary responsibility designated to senior member of staff |  |  |
| Ch 2 para 2.4 | * Point of contact for those affected by the duties |  |  |
| Ch 2 para 2.5 | * *Objectives and targets relating to statutory duties integrated into plans* |  |  |
| Ch 2 para 2.6 | * *Reference to statutory duties included in job descriptions/performance plans (where relevant)which are subject to annual performance review* |  |  |
|  | Annual Report |  |  |
| Ch 2 para 2.7 | * Commitment to completing an annual progress report |  |  |
|  | * Submit report to ECNI by 31st August each year |  |  |
|  | * *Follow any guidance issued by ECNI* |  |  |
|  | * *Reporting progress in organisational annual report* |  |  |
| Ch 2 para 2.8 | * *Annual report available on website or by contacting pa (link and contact details provided)* |  |  |
| Ch 2 para 2.9 | * Liaise with ECNI to ensure progress maintained |  |  |
| Ch 2 para 2.10 | * *Any other arrangements for implementation of equality scheme?* |  |  |
|  | Action plan/action measures |  |  |
| Ch 2 para 2.11 | * Commitment to develop an action plan/public authority has developed an action plan |  |  |
| Ch 2 para 2.12 | * *Action measures relevant to functions, developed and prioritised on the basis of an audit of inequalities* |  |  |
|  | * *Audit analyses information across S75 categories to identify inequalities that exist for service users and those affected by the public authorities policies* |  |  |
| Ch 2 para 2.13 | * *Action measures are SMART, include performance indicators and timescales* |  |  |
| Ch 2 para 2.14 | * *Action plan developed for period of 1 – 5 yrs to align to corporate and business planning cycles* |  |  |
|  | * *Implementation of action measures included in business planning process* |  |  |
| Ch 2 para 2.15 | * *Input from stakeholders and consult on action plan before sending to ECNI* |  |  |
| Ch 2 para 2.15 | * *Input from stakeholders and consult on action plan when reviewing plan thereafter* |  |  |
| Ch 2 para 2.16 | * *Monitor progress on action measures annually and update plan as necessary* |  |  |
| Ch 2 para 2.17 | * *Inform ECNI of changes to action plan and will include this in annual progress report.* |  |  |
|  | * *Progress on implementing action measures/plan included in annual progress report.* |  |  |
| Ch 2 para 2.18 | * *Details of where action plan is available (contact person, website)* |  |  |
|  | * *Details of where to get action plan in alternative format* |  |  |
|  | * *Any other arrangements for assessing compliance* |  |  |

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| **Schedule reference**  (listed in model scheme) | **Compliance Information**  (assessing compliance with the Section 75 duties) | **Yes/No** | **Comments** |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| 9 4 (2) (a) | If the public authority has set out *alternative arrangements* for assessing compliance, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements* for assessing compliance, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Are there systematic processes in place to assess compliance? * Do these systems / processes evaluate the organisations compliance against all their functions? |  |  |
| **Assessment of Compliance:**  **Does the scheme state the public authority’s arrangements for assessing its compliance with the S75 duties? Yes/No**  Explain why, and make other observations if appropriate: | | | |

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| **Chapter 3 – Arrangements for consultation**  Schedule 9, paragraphs 4(2)(a) and (b) and S75 Guide requirements | | | |
| **Model**  **Scheme**  **Chapter & para** | **Assessing Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
| Ch 3 para 3.1 | * Public authority consult on equality scheme *action measures*, equality impact assessments and other matters relevant to the duties |  |  |
| Ch 3 para 3.2 | * Commitment to carry out consultations in accordance with recommendations in the Guide (pg 38 -39) |  |  |
| Ch 3 para 3.2.1 | * Consultations seek views of those directly affected, ECNI, representative groups, *other pa*, voluntary and community groups, staff and trade unions *and other groups who have a legitimate interest in the matter whether or not they have a direct economic or personal interest* |  |  |
|  | * Consultees notified by email or post of policy being consulted. Public authority will take a targeted approach to consultation |  |  |
| Ch 3 para 3.2.2 | * Consultations with stakeholders will begin as early as possible |  |  |
|  | * Engage with affected individuals and representative groups to identify how best to consult with them. |  |  |
|  | * Consideration to be given to methods of consultation. Methods of consultation could include …. |  |  |
|  | * List is not exhaustive, may develop additional methods of consultation |  |  |
| Ch 3 para 3.2.3 | * Accessibility and format of method of consultation to be considered to remove barriers to consultation process |  |  |
|  | * Consideration given to how best to communicate information to children and young people, people with disabilities (learning disabilities) and minority ethnic communities. |  |  |
|  | * *Take account of existing/developing good practice (include Lets Talk)* |  |  |
|  | * *Any specific considerations?* |  |  |
|  | * Information available on request in alternative formats in a timely manner *(timelines given).* *Equal time to respond* |  |  |
| Ch 3 para 3.2.4 | * Specific training provided to those facilitating consultations to ensure they have necessary skills to communicate effectively with consultees |  |  |
| Ch 3 para 3.2.5 | * *Public authority will develop a programme of awareness raising on S75 duties and scheme commitments for consultees by undertaking (pa to outline arrangements)* |  |  |
| Ch 3 para 3.2.6 | * Adequate time allowed for groups to consult amongst themselves |  |  |
|  | * Consultation period lasts for a minimum of 12 weeks |  |  |
|  | * Exceptional circumstances consultation period can be shortened to 8 weeks before policy implemented |  |  |
|  | * Continue consultation after, and review policy as part of monitoring |  |  |
|  | * *Exceptional circumstances must Implement policy immediately may consult after implementation of policy to ensure any impacts of policy considered* |  |  |
| Ch 3 para 3.2.7 | * *Consultation over holidays, or policy complex consider extending consultation period* |  |  |
| Ch 3 para 3.2.8 | * Affected individuals and representative groups may have different needs. Take appropriate measures to ensure full participation in any meetings |  |  |
| Ch 3 para 3.2.9 | * Information made available in appropriate formats to ensure meaningful consultation. Include detailed information on the policy proposal and relevant quantitative and qualitative data. |  |  |
| Ch 3 para 3.2.10 | * In making a decision with respect to a policy adopted or proposed to be adopted take into account any assessment and consultation carried out |  |  |
| Ch 3 para 3.2.11 | * Provide feedback to consultees in a timely manner. |  |  |
|  | * Feedback report will include summary of - the policy consulted upon;   - consultees comments;  - public authorities consideration of and response to consultees   * Feedback provided in formats to suit consultees |  |  |
| Ch 3 para 3.3 | * List of consultees included in the scheme. |  |  |
|  | * Consultation list available from *pa* and on the website. |  |  |
| Ch3 para 3.4 | * Does the scheme state that the consultation list is not exhaustive and will be reviewed on an annual basis? |  |  |
| Ch 3 para 3.4 | * *Can consultees contact the pa to be added/removed from the list?* |  |  |

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| **Schedule reference in model scheme** | **Compliance Information**  (Arrangements for consultation) | **Yes / No / ?** | **Comments** |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| **Schedule reference in model scheme** | **Compliance Information**  (Arrangements for consultation) | **Yes / No / ?** | **Comments** |
| 9 4 (2) (a) and (b) | If the public authority has set out *alternative arrangements* for consulting, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements* for consulting on the likely impact of policies adopted or proposed to be adopted on the promotion of equality of opportunity, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Arrangements that enable those affected by a policy and have a legitimate expectation…to give their views. * A list of those to be included in consultation on matters relating to Section 75 statutory duties and the equality scheme? * Consultation is undertaken when the proposals are at a formative stage. * Indicate what is to be consulted on:   + any other matters likely to be relevant to the S75 duties   + likely impact of policies adopted or proposed to be adopted on the promotion of equality of opportunity across the 9 statutory equality categories * Arrangements allow for appropriate methods to consult with stakeholders in order to get their advice or opinion? * Adequate information about the proposals is given to enable consultees to respond * Allows respondents adequate time to consider the proposals and to respond. * Accessibility and format of method of consultation to be considered to remove barriers to consultation process * In making any decision with respect to a policy adopted or proposed to be adopted by it, does the public authority make a commitment to take into account any consultation carried out in relation to the policy. i.e. (conscientious consideration, open minded and willing to change course on the foot of consultation responses) |  |  |
| **Assessment of Compliance:**  **Does the scheme state the public authority’s arrangements for consulting on the likely impact of policies adopted or proposed to be adopted on the promotion of equality of opportunity and on matters to which the S75 duty is likely to be relevant (including details of the persons to be consulted? Yes / No**  Explain why, and make other observations if appropriate:  **Does the scheme include a commitment by the public authority that when it makes any decision about a policy, or proposed policy, it will take into account any relevant consultations that it has conducted? Yes / No**  Explain why, and make other observations if appropriate: | | | |

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| **Chapter 4 - Arrangements for assessing, monitoring and publishing the impact of policies**  Schedule 9, paragraphs 4(2)(b), (c) and (d) | | | |
| **Model**  **scheme**  **Chapter & Para** | **Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
|  | Arrangements for **assessing** the likely impact of policies adopted or proposed to be adopted on the promotion of equality of opportunity |  |  |
| Ch 4 para 4.1 | * Definition of a policy as per model scheme |  |  |
| Ch 4 para 4.2 | * Commitment that in making any decision will take account any assessment and consultation carried out in relation to the policy |  |  |
| Ch 4 para 4.3 | * Public authority uses screening/eqia |  |  |
|  | * *to follow ECNI guidance on screening, screening template and ‘Practical Guidance on EQIA’* |  |  |
|  | Screening |  |  |
| Ch 4 para 4.4 | * Purpose of screening |  |  |
| Ch 4 para 4.5 | * *Commitment to screen policies at the earliest opportunity* |  |  |
|  | * *Commitment to screen policies prior to implementation* |  |  |
|  | * *Commitment that more detailed strategies screened at a number of stages* |  |  |
| Ch 4 para 4.6 | * *Lead role in screening process taken by the policy decision maker* |  |  |
|  | * *Screening will involve other team members.* |  |  |
|  | * *Include key stakeholders in the screening process* |  |  |
| Ch 4 para 4.7 | * *Four screening questions applied* |  |  |
| Ch 4 para 4.8 | * *to gather evidence (qualitative and quantitative)to answer the four screening questions* |  |  |
|  | * *that screening decision will be informed by evidence* |  |  |
|  | *Screening will lead to either* |  |  |
| Ch 4 para 4.9 | * *policy has been ‘screened in’ for eqia* |  |  |
|  | * *policy has been ‘screened out’ with mitigation or alternative policy proposed to be adopted* |  |  |
|  | * *policy has been ‘screened out’ without mitigation or an alternative policy proposed to be adopted.* |  |  |
|  | *Screening concludes ‘minor’* |  |  |
| Ch 4 para 4.10 | * *may consider eqia or consider mitigating measures/alternative policies* |  |  |
|  | * *outline reasons for mitigation in screening template* |  |  |
|  | * *screening decision signed off by policy lead* |  |  |
| Ch 4 para 4.11 | *Screening concludes ‘major’*   * *normally carry out eqia. screening decision will be ‘signed off’ by the appropriate policy lead* |  |  |
|  | *Screening concludes ‘none’* |  |  |
| Ch 4 para 4.12 | * *may screen the policy ‘out’* |  |  |
|  | * *outline reasons in screening template for screening out* |  |  |
|  | * *screening decision to be signed off by policy lead* |  |  |
| Ch 4 para 4.13 | * *On completion of screening, screening template signed by the senior manager put on website asap and available on request* |  |  |
|  | * *website address/link contact details provided* |  |  |
| Ch 4 para 4.14 | * *review screening decision if concerns raised by consultees (including the ECNI)* |  |  |
| Ch 4 para 4.15 | * *publish screening reports quarterly* |  |  |
|  | Equality Impact Assessment |  |  |
| Ch 4 para 4.16 | * Definition of an EQIA to determine extent of any differential impact and if this is adverse. *It is also an opportunity to demonstrate the likely positive outcomes of a policy and to seek ways to more effectively promote equality of opportunity and good relations* |  |  |
| Ch 4 para 4.17 | * *If eqia is necessary, carry out in accordance with ECNI guidance* |  |  |
|  | * *eqia before the policy is implemented.* |  |  |
| Ch 4 para 4.18 | * *Any eqia will be subject to* consultation |  |  |

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| **Schedule reference**  (listed in model scheme) | **Compliance Information**  (Assessment of policies) | **Yes / No / ?** | **Comments** |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| 9 4 (2) (b)  9 9 (2)  S75 Guide (Chapter 7, page 45) | If the public authority has set out *alternative arrangements* for assessing impacts, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements* for assessing impacts, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Does the method allow for assessment across all Section 75 categories on the promotion of equality of opportunity? * Will the method be applied to all policies? * Does the method ensure that the public authority will consider carrying-out impact assessments in relation to every policy under consideration * Does it set out systematic and objective methods and processes to determine differential (adverse and positive) impacts of policies? * Does it provide that written records of the assessment and decision-making process will be kept? * Does it ensure that relevant assessments are made and taken into account at the appropriate time (i.e. before and at the time that a decision is being considered and not after it has been made)? * Does it allow for both quantitative and qualitative information/data to be taken into account? * Does it provide that the ultimate policy decision-maker(s) must take the relevant assessments into account when making their final policy decision? |  |  |
| **Assessment of compliance:**  **Does the scheme state the public authority’s arrangements for assessing the impact of policies adopted, or proposed to be adopted, on the promotion of equality of opportunity? Yes / No**  **Does the scheme include a commitment by the public authority that when it makes any decision about a policy, or proposed policy, it will take into account any relevant assessments that it has conducted? Yes / No**  Explain why, and make other observations if appropriate: | | | |

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| **Model**  **scheme**  **Chapter & Para** | **Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
|  | Arrangements for publishing the results of the assessments of the likely impact of policies adopted or propose to adopt on the promotion of equality of opportunity |  |  |
| Ch 4 para 4.19 | * Make publicly available the results of assessments (*screening and EQIA*) of the likely impact of policies |  |  |
|  | What we publish |  |  |
| Ch 4 para 4.20 | *Screening reports* |  |  |
|  | *Published quarterly include:-* |  |  |
|  | * *All policies screened over 3 months* |  |  |
|  | * *Statement of the aims of the policy/policies to which the assessment relates* |  |  |
|  | * *Consideration to measures which might mitigate any adverse impact* |  |  |
|  | * *Consideration to alternative policies better achieve the promotion of equality of opportunity* |  |  |
|  | * *Screening decisions i.e policy screened in; policy screened out with mitigation or alternative policy; policy screened out without mitigation or alternative policy* |  |  |
|  | * *Timetable for conducting eqia* |  |  |
|  | * *Link to screening templates on website* |  |  |
| Ch 4 para 4.21 | *Screening templates –refer to 4.13* |  |  |
|  | Equality impact assessment |  |  |
| Ch 4 para 4.22 | * EQIA reports published once impact assessment completed. Reports include |  |  |
|  | * *Aim of policy assessed* |  |  |
|  | * *Information and data collected* |  |  |
|  | * *Details of the assessment of impacts* |  |  |
|  | * Consideration given to measures which might mitigate any adverse impact |  |  |
|  | * Consideration given to alternative policies which might better achieve promotion of equality of opportunity |  |  |
|  | * Consultation responses |  |  |
|  | * Decision taken |  |  |
|  | * Future monitoring arrangements |  |  |
|  | How we publishinformation |  |  |
| Ch 4 para 4.23 | * Published information is accessible and available in alternative formats on request. (see 6.3) |  |  |
|  | Where we publish the information |  |  |
| Ch 4 para 4.24 | * Results of assessment (screening reports, completed templates, results of eqia) available *on website and by contacting the pa (details provided).* |  |  |
| Ch 4 para 4.25 | * screening reports *(electronic link or hard copy) which include all policies screened over 3 months will be sent directly to all consultees on a quarterly basis* |  |  |
| Ch 4 para 4.26 | * *general public will be made aware material is available through communications such as press releases where appropriate* |  |  |
| **Schedule reference in model scheme** | **Compliance Information**  **(**Publishing the results of assessments) | **Yes / No / ?** | **Comments** |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| **9 4 (2) (d)** | If the public authority has set out *alternative arrangements* for publishing the results of assessments, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements* for publishing the results of assessments, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Does the scheme set out the public authority’s arrangements for publishing the results of assessments of the likely impact of a policy?   In publishing the results does the public authority state the aims of the policy and detail any   * Consideration given to measures which might mitigate any adverse impact of that policy on promotion of equality of opportunity * Alternative policies which might better achieve the promotion of equality of opportunity. |  |  |
| **Assessment of Compliance:**  **Does the scheme state the public authority’s arrangements for publishing the results of the assessments that it conducts?**Y/N. Explain why, and make other observations if appropriate: | | | |

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| **Model**  **scheme**  **Chapter & Para** | **Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
|  | Arrangements for monitoring any adverse impact of policies we have adopted on equality of opportunity |  |  |
| Ch 4 para 4.27 | * carrying out monitoring *follow any guidance from the Office of the Information Commissioner* and ECNI |  |  |
| Ch 4 para 4.28 | * monitor adverse impact on the promotion of equality of opportunity of policies adopted |  |  |
|  | * monitor more broadly to identify opportunities to better promote equality of opportunity and good relations in line with Commission guidance |  |  |
| Ch 4 para 4.29 | * *Monitoring systems established include* |  |  |
|  | * *collection, collation and analysis of existing relevant primary/secondary sources of quantitative and qualitative data across all nine equality categories on an ongoing basis* |  |  |
|  | * *audit of existing information systems within one year of approval of scheme to identify the extent of current monitoring and take action to address gaps in order to base decisions* |  |  |
|  | * *undertaking or commissioning of new data* |  |  |
| Ch 4 para 4.30 | * *two year period monitoring shows that policy results in greater adverse impact or opportunities arise which allow for greater equality of opportunity to be promoted ensure policy is revised to achieve better outcomes for relevant equality groups* |  |  |
| Ch 4 para 4.31 | * review EQIA monitoring information on an annual basis. |  |  |
|  | * *an outline of when other monitoring information is reviewed.* |  |  |
|  | * *Any additional monitoring arrangements* |  |  |
|  | Arrangements for publishing the results of monitoring |  |  |
| Ch para 4.32 | * Publish the results of monitoring of adverse impacts of policies adopted. *Monitoring more broadly with the results of policy monitoring published as follows:* |  |  |
| Ch 4 para 4.33 | * *eqia monitoring published in Section 75 annual progress report.* |  |  |
| Ch 4 para 4.34 | * *Any additional arrangements for publishing monitoring information* |  |  |
| Ch 4 para 4.35 | * All published information is accessible and can be made available in alternative formats on request |  |  |
| **Schedule reference in model scheme** | **Compliance Information**  (Arrangements for monitoring and publishing any adverse impact of policies we have adopted on equality of opportunity) | **Yes / No / ?** | **Comments** |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| **9 4 (2) (c)**  **9 9 (2) (d)** | If the public authority has set out *alternative arrangements* for monitoring and publishing the results of assessments, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements* for monitoring and publishing the results of assessments, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Has the scheme set out arrangements for monitoring adverse impacts of assessments? * Has the scheme set out arrangements for publishing results of monitoring of adverse impacts? |  |  |
| **Assessment of compliance:**  **Does the scheme state the public authority’s arrangements for monitoring any adverse impacts of policies adopted on the promotion of equality of opportunity?,**  **Does the scheme state the public authority’s arrangements for publishing the results of such monitoring?**  Explain why, and make other observations if appropriate: | | | |

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| **Chapter 5 – Staff training**  **Schedule 9, paragraph 4(2)(e)** | | | |
| **Model**  **scheme**  **Chapter & para** | **Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
|  | Commitment to staff training |  |  |
| Ch 5 para 5.1 | * *Awareness raising and training have crucial role in effective implementation of S75* |  |  |
| Ch 5 para 5.2 | * Chief Executive positively communicate the commitment of the pa to the duties internally and externally |  |  |
|  | * Public authority introduced effective communication and training programme for all staff |  |  |
|  | * *Commitment to S75 duties made clear in relevant publications* |  |  |
|  | Training objectives |  |  |
| Ch 5 para 5.3 | * Public authority will draw up/has drawn up a training plan for staff to achieve following objectives:- |  |  |
|  | * raise awareness of provisions of S75, equality scheme commitments, issues affecting S75 categories to ensure staff understand role in implementing scheme |  |  |
|  | * provide those staff involved in assessing policies; complaints; consultations; and implementing and monitoring the scheme with the necessary skills and knowledge |  |  |
|  | Awareness raising and training arrangements |  |  |
| Ch 5 para 5.4 | Arrangements to ensure staff and (board members/equivalent) are aware of and understand equality obligations:- |  |  |
|  | * *develop summary equality scheme -available to all staff* |  |  |
|  | * access to full equality scheme for staff; queries answered |  |  |
|  | * *Staff briefing on equality scheme within specified time* |  |  |
|  | * Duties form part of induction training for new staff |  |  |
|  | * Focused training for key staff involved in taking forward the scheme |  |  |
|  | * *Where appropriate training for staff to make them aware of issues experienced by S75 groups* |  |  |
|  | * *Arrangements in place to ensure staff are kept up to date on S75* |  |  |
|  | * *Any additional arrangements?* |  |  |
| Ch 5 para 5.5 | * *Training and awareness programmes where relevant to be developed in association with S75 groups and staff* |  |  |
|  | * *Where possible public authority to work with other bodies in the development and delivery of training* |  |  |
|  | Monitoring and evaluation |  |  |
| Ch 5 para 5.6 | Training programme subject to the following monitoring and evaluation arrangements |  |  |
|  | * *Evaluate if participants acquired necessary skills and knowledge* |  |  |
|  | * *Extent training objectives have been met reported in S75 annual report submitted to ECNI* |  |  |
|  | * *Any other monitoring and evaluation arrangements?* |  |  |
| **Schedule reference in model scheme** | **Compliance Information**  (Staff Training) | **Yes / No / ?** | **Comments** |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| 9 4 (2) (e) | If the public authority has set out *alternative arrangements* for staff training, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements* for staff training, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Are arrangements set out to enable all people (staff and board members) charged with carrying out the functions of the organisation to attain a required level of knowledge on equality issues and law and good practice (including anti-discrimination law and Section 75), either through structured or informal activities? * Is there a commitment by the public authority to evaluate the training carried out? |  |  |
| **Assessment of compliance:**  **Does the scheme state the public authority’s arrangements for training staff? Y / N**  Explain why, and make other observations if appropriate: | | | |

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| **Chapter 6 – Arrangements for ensuring and assessing public access to information and services**  Schedule 9, paragraph 4(2) (f). | | | |
| **Model**  **scheme**  **chapter & para** | **Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
|  | Arrangements for ensuring and assessing access to information and services provided |  |  |
| Ch 6 para 6.1 | * Information and services provided are fully accessible to all parts of the community in NI |  |  |
|  | * Arrangements kept under review |  |  |
| Ch 6 para 6.2 | * *Awareness that some groups will not have the same access to information as others (examples given)* |  |  |
|  | Access to information |  |  |
| Ch 6 para 6.3 | * provide information in alternative formats on request where reasonably practicable |  |  |
|  | * Request cannot be met ensure reasonable alternative provided |  |  |
|  | * *List of alternative formats* |  |  |
|  | * *Liaise with representatives of young people, disability and minority ethnic organisations and take account of existing/developing good practice* |  |  |
|  | * *Respond to requests for information in alternative formats in a timely manner (timeline included)* |  |  |
|  | * *Outline of arrangements in place for providing information to children and young people, people with learning disabilities and minority ethnic communities* |  |  |
| Ch 6 para 6.4 | * *Disseminating information through the media seek to advertise in press where appropriate* |  |  |
| Ch 6 para 6.5 | * *Outline of any other arrangements in place in ensuring public access to information* |  |  |
|  | Access to services |  |  |
| Ch 6 para 6.6 | * Committed to ensuring all of our services are fully accessible to everyone in the community across all Section 75 groups * Public authority adheres to provisions of current anti-discrimination legislation |  |  |
| Ch 6 para 6.7 | * Arrangements in place for ensuring public access to services |  |  |
|  | Assessing public access to information and services |  |  |
| Ch 6 para 6.8 | * Monitor across all functions in regards to access to information and services. *(Timeline included)* |  |  |
| Ch 6 para 6.9 | * Arrangements for assessing public access to information and services |  |  |
| **Schedule reference in model scheme** | **Compliance / Alternative approach questions**  (arrangements for ensuring and assessing public access to information and to services provided by the authority) | **Yes / No / ?** | **Comments** |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| 9 4 (2) (f)  S 75 Guide P44  S75 Guide  Definition of:  Definition of: | If the public authority has set out *alternative arrangements* for ensuring, and assessing, public access to the information and services it provides, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements* for ensuring, and assessing, public access to the information and services it provides, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Does the scheme specify how the public authority will ensure that both the information which it disseminates and the services which it provides are made accessible in a way which promotes equality of opportunity? * Is there a system for monitoring how accessible information and services are, across all functions, to ensure equality of opportunity? * Assessing – Does it set out systematic methods and processes to describe the likely advantages and disadvantages of current arrangement of accessing information and services? * Ensuring – Are there any arrangements in place to overcome any disadvantages/problems identified |  |  |
| **Assessment of Compliance:**  **Does the scheme state the public authority’s arrangements for ensuring, and assessing, public access to the information and to services it provides? Yes / No**  Explain why, and make other observations if appropriate:  **Please note that the authority must have set out arrangements for ensuring and assessing both :**   * **Public access to information and** * **Public access to services** | | | |

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| **Chapter 7 – Timetable for measures proposed in equality scheme**  **Schedule 9, paragraph 4(3)(b)** | | | |
| **Model**  **scheme**  **Chapter & para** | **Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
|  | Timetable for measures proposed in equality scheme |  |  |
| Ch 7 para 7.1 | * Timetable for all measures proposed (included as an appendix) |  |  |
|  | * Measures will be incorporated into business planning processes |  |  |
| Ch 7 para 7.2 | * *Timetable of measures is different from and in addition to public authorities commitment to developing an action measure/plan* |  |  |
|  | * Equality scheme contains commitment to develop action plan |  |  |
|  | * Commitment to develop an action plan is in the timetable of measures. |  |  |
| **Schedule reference in model scheme** | **Compliance Information**  **(T**imetable of Measures) | **Yes / No / ?** | **Comments** |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| **9 9 (3) (b)** | If the public authority has set out *alternative timetable of measures*, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative timetable of measures*, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Does the timetable cover all the measures proposed in the scheme? * Does each measure have a timescale? |  |  |
| **Assessment of Compliance:**  **Does the scheme specify a timetable for the measures it proposes?** Y/N  Explain why, and make other observations if appropriate: | | | |
| **Chapter 8 – Complaints procedure**  This Chapter corresponds to a mandatory requirement imposed by the S75 Guide (see Chapter 6, page 34 and Chapter 7, page 45) | | | |
| **Model**  **scheme**  **Chapter & para** | **Model scheme checklist with prompts** | **Yes / No / ?** | **Comments** |
|  | Complaints procedure |  |  |
| **Ch 8 para 8.1** | * *Aim to resolve all complaints* |  |  |
| **Ch 8 para 8.2** | * *Outline of paragraph 10 complaints – person to be directly affected by the alleged failure of the public authority to comply with approved equality scheme* |  |  |
|  | * *Complaint not resolved within a reasonable timescale can be referred to ECNI* |  |  |
| **Ch 8 para 8.3** | * *Contact details for person dealing with complaints in pa* |  |  |
| **Ch 8 para 8.4** | * *Timeline for acknowledging complaint* |  |  |
| **Ch 8 para 8.5** | * *Public authority to carry out internal investigation. Respond substantively to complaint within 1 month of receiving letter* |  |  |
|  | * *Period of response to complaint can be increased to 2 months if matter is complex. Complainant to be advised of this within 1 month.* |  |  |
| **Ch 8 para 8.6** | * *Complaint to be kept fully informed of progress and outcome of complaint.* |  |  |
| **Ch 8 para 8.7** | * *Public authority will co-operate fully in any investigation by ECNI (para 10 and 11) providing timely access to relevant documentation.* |  |  |
| **Ch 8 para 8.8** | * *Public authority will make all efforts to implement promptly and in full any recommendations arising out of any Commission investigation* |  |  |
| **Schedule reference in model scheme** | **Compliance Information**  (complaints procedure) | **Yes / No / ?** | **Comments** |
|  | Are all of the green parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| There are no schedule  requirements for public authorities in relation to complaints.  **S75 Guide, Chapter 6, 34 and (must)**  **Chapter 7, page 45) (should)** | If the public authority has set out *alternative arrangements for dealing with complaints*, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements for dealing with complaints*, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Does the scheme set out arrangements for dealing with complaints arising from a failure to comply with the scheme? * Does the scheme detail a procedure for dealing with complaints including where and how complaints may be raised and a timetable for responding? |  |  |
| **Assessment of Compliance:**  **Does the scheme state the public authority’s arrangements for dealing with complaints that it has failed to comply with the scheme?** Y/N  Explain why, and make other observations if appropriate: | | | |

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| **Chapter 9 – Publication of equality scheme**  Schedule 9, paragraph 4(3)(c) | | | |
| **Model**  **scheme**  **Chapter & para** | **Model scheme checklist with**  **Prompts** | **Yes / No / ?** | **Comments** |
|  | Publication of equality scheme |  |  |
| Ch 9 para 9.1 | * *Equality scheme is available free of charge in print and alternative formats* |  |  |
|  | * *Equality scheme available on website and from contacting the pa (website address and contact details listed)* |  |  |
| Ch 9 para 9.2 | Outline of arrangements for publication of equality scheme in a timely manner to include: |  |  |
|  | * *Communication of equality scheme e.g*. *press releases, ads in the press internet* |  |  |
|  | * *Email link to approved equality scheme to all consultees. Notification by letter those who don’t have email that scheme is available on request. Respond to requests for scheme in alternative formats in a timely manner (timeline included).* |  |  |
|  | * Scheme available in alternative formats such as Easy read, Braille, large print, audio formats and in minority languages |  |  |
|  | * *Outline of arrangements in place for* *communication equality scheme to children and young people and people with disabilities* |  |  |
| Ch 9 para 9.4 | * List of consultees available *as an Appendix* to scheme, *website and by contacting public authority.* |  |  |
| **Schedule reference in model scheme** | **Compliance Information**  (Publication of equality scheme) | **Yes / No / ?** | **Comments** |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| **9 (4) (3) (c)** | If the public authority has set out *alternative arrangements for publication of equality scheme*, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements for publication of equality scheme*, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Does the scheme include details of how it will be published? i.e. the scheme must be published i.e. what is prepared and how it is issued. |  |  |
| **Assessment of Compliance:**  **Does the scheme include details of how it will be published?** Y/N  Explain why, and make other observations if appropriate: | | | |

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| Chapter 10 – Review of equality scheme  This Chapter corresponds to a mandatory requirement imposed by the S75 Guide (see Chapter 6, page 34 and Chapter 7, page 44). | | | |
| Model  scheme  Chapter & para | Model scheme checklist with  prompts | **Yes / No / ?** | Comments |
|  | Review of equality scheme |  |  |
| Ch 10 para 10.1 | * to review the equality scheme within five years of submission to ECNI *or within a shorter timescale to allow alignment with the review of other planning cycles* |  |  |
|  | * *follow any guidance issued by ECNI* |  |  |
|  | * *make report public and* send copy to ECNI |  |  |
|  | * *Any arrangements for publication* |  |  |
| **Schedule reference in model scheme** | **Alternative questions** | **Yes / No / ?** | Comments |
|  | Are all of the blue parts of the *model scheme* checklist met above?   * If yes – scheme section meets compliance. Go straight to ‘Assessment of compliance’. * If no or a completely alternative approach has been taken please consider the remainder of this section gathering compliance information. |  |  |
| **9 (8) 3**  Guide P 34 (must)  Guide P44 (should) | If the public authority has set out *alternative arrangements for review of equality scheme*, give a brief description of what these are.  If the public authority has *omitted blue sections* *and/or set out alternative arrangements for review of equality scheme*, use the following prompts to consider if the Schedule 9 and Guide requirements are met?   * Does the scheme include a commitment to conducting a review of the scheme within 5 years of submission or last review and to sending a report of this to the Commission? * Does the scheme include commitment to : * Formal review of effectiveness in meeting Statutory duties? * If not effective, revise scheme? * Follow Commission Guidance on undertaking review? |  |  |
| **Assessment of Compliance:**  **Does the scheme state the public authority’s commitment to conducting a review of the scheme within 5 years of its submission to the Commission and to forwarding a report of this review to the Commission?** Y/N  Explain why, and make other observations if appropriate: | | | |

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| **Model**  **scheme**  **chapter & para** | **Model scheme checklist with**  **prompts** | **Yes / No / ?** | **Comments** |
| ***Appendix 1*** | ***Organisational chart*** |  |  |
| ***Appendix 2*** | ***Example groups relevant to 75 categories*** |  |  |
| **Appendix 3** | **List of consultees** |  |  |
| **Appendix 4** | **Timetable for measures proposed** |  |  |
| ***Appendix 5*** | ***Glossary of terms*** |  |  |
| **Appendix 6**  **(not assessed as part of scheme)** | **Action plan/action measures** |  |  |
| **Assessment of Compliance:**  Is **there both a LIST OF CONSULTEES and a TIMETABLE FOR MEASURES either in the appendices or elsewhere?** Y/N  Explain why, and make other observations if appropriate: | | | |

RESIDUAL QUESTIONS

**CONSULTATION REQUIREMENT [Schedule 9, paragraph 5]**

**Before submitting its proposed equality scheme to the Commission, did the public authority consult representatives of persons likely to be affected by it in accordance with any directions issued by the Commission?**

**[Please evaluate this question by: Asking for/seeking a copy of the consultation report or reviewing if the authority took ECNI comments into account and/or checking if this referred to in their covering submission letter. Please also check the period of consultation is at least greater than or equal to 8 weeks.]**

Yes: No: Comments: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**OFFICER’S ASSESSMENT**

**Does the scheme conform to the Equality Commission’s guidelines as to form and content? [Schedule 9, paragraph 4(3)(a) i.e. Does the overall scheme satisfy the minimum prescribed criteria for approval as set out in the red questions above?**

**[Please note: form and content relate to the statutory requirements of Chapters 5,6,7 of the Commissions Guide and should not be considered to encompass the non statutory recommendations.]**

Yes: No: Comment:

**ADDITIONAL COMMENTS:**

Any further comments on the assessment of the whole scheme?

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