



London Borough of Haringey

Audit on Workforce Equality & Inclusion

Incorporating:

Employers
Forum *on* Age

Employers
Forum *on*
Belief

Employers 4 Fathers

October 2015

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Introduction.

Haringey Council is facing some of the most significant challenges it has ever faced. Against this backdrop, in May 2015, enei (Employers Network for Equality & Inclusion) after a tender process were chosen by Haringey Council to:

- Provide an Equality & Inclusion Audit with recommendations on the Council's compliance with the Equality Act 2010.
- To design and facilitate staff focus groups to capture views on diversity, equality and transparency especially in relation to the Council's employee profile using the protected characteristics.
- To evaluate the Council's current Equality & Diversity learning and development products including how delegates have applied and transferred their learning into the workplace and can demonstrate their responsibilities.
- To evaluate recent and current Equality Impact Assessment or EqIAs providing feedback on the quality of their content, specifically focusing on action planning
- To audit current EqIA procedures and process including all documentations such as guidelines.
- To audit performance in relation to the Public Sector Equality Duty (PSED)
- To work with officers to develop a data set that reports the protected characteristics and provide assurance to the Senior Leadership Team and the Staffing and Remuneration committee
- To consider the impact Equality & Diversity can have on the culture of the organisation and consider this in a wider project the Council is commencing
- To produce a report that includes all the above with evidence, summary of findings, recommendation and a proposed action plan which is creative and practical within four weeks of the audit being completed
- To demonstrate that knowledge transfer has taken place with a number of key officers in relation to their understanding of the Equality Act, how to achieve compliance and how to connect to external benchmarking / networking opportunities
- To present the findings and recommendations to the council's Senior Leadership Team and Staffing and Remuneration within 8 weeks of the audit being completed or the nearest Staffing and Remuneration Committee to that date

Context

In September 2014, Haringey Council had identified that:

- It had an aging workforce in key areas such as senior and middle management
- That it had an absence of young people working for it and fewer joining its ranks
- That Black, Asian, Minority Ethnic (BAME) predominantly occupy roles up to PO3 whilst White counterparts are overrepresented at PO8 and above.

Haringey's Salary & Review Committee signed off on commissioning this independent review.

Against a background of fiscal streamlining, Council staff need to meet increasing expectations from its residents and users while the workforce is reducing in size.

This report focuses on the council's approach to achieving an equal diverse and inclusive workforce on one hand and on the other reflecting on the Equality Impact Assessment process.

Methodology

The audit commenced with an Inception meeting (as part of the enei tender) on 20 May 2015 with elected, executive, policy and trade union members of Haringey Council as well as an enei team.

The purpose of this meeting was to define methodology, deliberate milestones and potential outcomes. The meeting also reviewed understanding of the scope of the audit, roles and responsibilities. From this meeting a project team led by Cllr Vanier, Council HR, Policy & Strategy, Trade Unions and enei emerged.

The process continued with a document review of forty (40) policies, strategies and its Equality Impact Assessment

Stakeholder discussions and interviews

As part of the audit enei held a series of group discussions with key stakeholders (Members, Trade Unions, SLT, CMG, and Policy and Strategy). Our aim was to gather views on the Councils' performance on equality to date and identify some of the challenges faced on making sustainable progress. Persons interviewed also had specific roles in terms of Equality, came into contact with diversity issues, managed large teams and sat at the key elements of the organisational hierarchy.

We also sought input on the design of the proposed survey of staff.

Common themes that emerged from the groups' discussion included:

- The need to strike a balance between compliance and realism in respect of the radical changes and pressures facing the Council
- A desire to 'unpick' what is really going on with regard to equality and inclusion
- Encouraging a more open culture where people feel confident about admitting what they do and do not know around equality issues and where rights and responsibilities are understood
- The need to make equality and inclusion really 'part of the day job' and not an 'add on' i.e. *'Not seeing equality and inclusion as another line in a programme'*
- The importance of developing a more nuanced understanding of Haringey's changing communities and the issues they face through more sophisticated data and partnership working
- Finding the 'hooks' for equality going forward
- Recognition that the nature of the borough necessitates that equality and inclusion need to be at the core of the Council's work.
- The importance of moving from 'talk and training' to 'action'
- An acknowledgement that there was a degree of cynicism within the Council with regard to equality and inclusion and blockages to progress due to long-term institutional failures
- The importance of small but significant symbols of change
- A view that disability may be underplayed in the Council (especially mental health)

In addition to the stakeholder discussions we also held a number of one to one interviews to gain a deeper understanding of some key developments in the Council which have E&D relevance. These included Haringey Values, The Academy, My Conversation, Tier 3 Review, Rebranding and Communication.

Recommendations

1. Haringey values

Equality and inclusion is both explicit and implicit within the Values e.g. under Human is 'We are passionate about difference', under Ambitious is 'We embrace change' but we understand that there has been no specific discussion on how equality and inclusion can be advanced through the Values. This needs to be addressed.

2. Tier 3 Review

2.1 Include a specific reference to equality and inclusion as a competency within the generic role profiles as without this there is a risk that excellence in equality and inclusion is assumed but is difficult to measure. How will the Council know what 'effective' looks like?

2.3 Ensure that the implementation of the Tier 3 review is subject to equality analysis especially in respect of those staff who will be 'demoted'.

3. My Conversation

3.1 There could be equality and inclusion issues in relation to certain groups under-evaluating themselves because of lack of confidence, past experience, lack of role models in where they want to go etc. Managers will be required to be highly skilled in communication with staff and alert to their own biases.

3.2 Consider adding questions around equality and inclusion to the bank of questions to alert managers to stereotyping and unconscious bias.

3.3 Ensure that unconscious bias training is included in the training programme currently being developed for the use of 'My Conversation'

4. The Academy

4.1 Ensure that the ongoing development of the Academy subject to equality analysis

4.2 Explore the potential of the apprenticeships and graduate entry schemes for tackling occupational segregation in the Council and thereby demonstrating due regard to advancing equality of opportunity

Document Review (see appendix for specific out of date references and comments)

To determine the extent to which due regard to equality has been given across a range of the Council's functions we undertook an extensive document review as part of the equalities audit.

The documents reviewed included a range of corporate strategies, employment policies and procedures along with equality specific information (policies, monitoring data and reports). Some of the documents were current (e.g. the Corporate Plan and the Workforce Plan), others dated back to 2010 or earlier and a number were not dated.

Although the majority of the documents we reviewed could be considered to be relevant to the three aims of the Equality Duty, evidence of having due regard was not always apparent.

The 3 aims of the Equality Duty are:

- Eliminate unlawful discrimination, harassment and victimisation and any other conduct prohibited by the Equality Act 2010
- Advance equality of opportunity between people who share a protected characteristic and those who do not, and
- Foster good relations between people who share a protected characteristic and those who do not

Recommendations relating to key documents and/or associated stands of work:

- Corporate Plan 2015/18

It was encouraging to see that equality and inclusion was a cross cutting theme and enabler for the Council's strategic priorities.

The challenge will be to ensure that this commitment is continued through the delivery plans and performance measures emerging from the Corporate Plan.

We recommend that:

1. A cumulative equality impact analysis be undertaken to identify any evidence of disproportionate adverse impact across the Delivery Plans?
2. Equality and inclusion measurements are developed as part of the performance management framework

- Sustainable Community Strategy 2007/16

The current strategy aligns with the Equality Duty through its focus on eliminating inequalities, promoting good relations and cohesiveness, and advancing equality of

opportunity (e.g. addresses economic prosperity; poverty and disadvantage; employment, training and education).

We understand that a new community strategy is to be developed and so our recommendations are for consideration in the development of the new strategy.

We recommend that:

1. Due regard to the Equality Duty and in particular, the need to foster good relations and advance equality of opportunity, is explicit in the development process for the new strategy.
2. The Council specifies how it will monitor and analyse access, outcomes and satisfaction across the protected characteristics and vulnerable groups.

- Health & Safety & Wellbeing Policy

We found implicit reference to equality issues and felt that the policy could be enhanced to demonstrate explicit due regard to the Equality Duty.

We recommend that:

1. Further consideration be given to the Duty to make reasonable adjustments.

- Workforce Plan 2015/18

We note that the aim is to create *'an agile workforcethat is skilled for the future, diverse, motivated and engaged to deliver for the people of Haringey'*

The Plan states that *'within the Plan there is a focus on diversity and inclusion across all the initiatives and products being created'*. There is also reference to a fair and inclusive succession planning process and to *'Monthly mood monitors and change questionnaires'* to find out how staff are feeling.

The Plan includes a draft Equality Impact Assessment (EIA) dated 16th December 2014 which identifies disproportionate negative impact on women, BME and disabled staff with actions designed to mitigate this adverse impact.

However, although equality and inclusion is one of 6 interrelated components the Plan does not expand much beyond the audit of compliance and the intention to use this and equality analysis data to develop a 3 year Action plan.

We recommend that:

1. A cumulative equality assessment is undertaken across all of the elements of the Workforce Plan to get a fuller picture of the potential for adverse impact
2. Actions proposed for mitigating the adverse impact identified in the initial EIA are implemented and monitored
3. The EIA is updated on a quarterly basis to identify any adverse impact emerging over time and allow for mitigating action to be considered

4. The Succession planning process is subject to equality analysis and ongoing monitoring
5. Equality analysis is an integral part of any restructure proposals from the onset
6. Data from the '*monthly mood monitors*' is disaggregated by the Protected Characteristics and reviewed for differential impact

- Employment Policies

We reviewed a range of employment policies and procedures to check that they reflect the current requirements of the Equality Act.

We found that there were out of date references and gaps in some of the policies. For example, references to the Disability Discrimination Act, not taking full account of the scope of the duty to provide reasonable adjustments, not including details of how particular policies will be monitored for consistency and fairness, using definitions not in line with those within the Equality Act, inconsistencies between certain statements and case law.

We have been informed that all HR policies are currently under review although we are not clear on the timescale for this review.

We have been assured that due regard to the Equality Duty is incorporated into the policy review process but at this stage we cannot evidence this assurance.

Our recommendation is that there is an audit trail to indicate how due regard is being given in the review, redesign and implementation of all HR policies and procedures

- Stakeholder Engagement Guidance (v.7 Feb 2015)

We note that there is no reference to considering the diversity of the stakeholders and 'Methods of Engagement' does not refer to accessibility/reasonable adjustments.

Reference is made to considering the cultural diversity of participants but not to other inclusion issues e.g. timing for people with caring responsibilities etc

It is also unclear how the guidance aligns with other existing guidance which is relevant to equality and inclusion e.g. venue selection, access statements etc

We recommend that the guidance is reviewed in the light of the above points.

- Programme Mandate Guide (v.4 Jan 2015) & Template (v1 June 2014)

We sought to identify ways of embedding equality analysis into existing policy, programme and project management tools.

We recommend that a reference to equality analysis be included to enable this to be a core part of project and programme management

- Procurement Strategy

The strategy emphasises equality of access to local businesses and voluntary organisations and illustrates a range of good practice.

There is mention of the strategy being equality impact assessed and Assurance Checks to ensure equal opportunity is actually being considered when procuring contracts.

However, the strategy we reviewed expired in 2013 and so we assume that a new strategy is in development.

We recommend that the new strategy:

1. Outlines how the Council can diversify the Central Purchasing Bodies arrangements in order to provide opportunities to SMEs and local businesses (consortia, small scale contracts etc.).
2. Outlines how the Council influences the Collaborative Procurement Hubs to strive for a diverse supplier base (if remit allows).
3. Includes information on the Council's achievements in attracting SMEs/local trade; innovation undertaken in this area including any examples of positive action.

- Equality Policy (easy read and detailed versions) April 2012

The aim is "A council which ensures the provision of services appropriate to local need, valued by all and delivered by staff who reflect the diverse communities we serve".

The policy covers residents, staff, visitors and anyone using Council services.

It refers to the Equality Objectives 2012 – 2016 and states that actions to deliver these are incorporated into key Council strategies.

The policy states that 'The Policy and its delivery will be subject to scrutiny by Members. Every Cabinet Member has political responsibility for the delivery of the services within their portfolios and, in keeping with this Policy, also has responsibility for delivering on equalities as it pertains to their portfolio. Similarly, Members collectively will be ultimately accountable for delivering the Policy and practice in relation to all aspects of employment and service delivery practice within the Council's control.'

The policy refers to targets based on relevant performance measures being monitored at the Council's Corporate Equality Board and included in the Council's performance reports.

It states that every Council employee will have access to the "Equal Opportunities -Rights and Responsibilities" handbook.

The policy has a review date of Nov 2014 and so we do not know if this version of the policy remains current.

We recommend that:

1. The policy is reviewed and updated to reflect the Corporate Plan
2. References to a Corporate Equality Board and to scrutiny of the policy by Members are updated to reflect the current review mechanisms

3. The equality monitoring report dated June 2012 currently published on the website is updated

- Equalities Handbook 2012

This states that all staff receive a copy of an equality statement but does not specify how this happens (e.g. is it part of induction?).

There is an out of date information e.g. reference to Disability Equality Scheme

We recommend that the handbook is updated and the mechanism for ensuring that all staff are made aware is made explicit

- Using Images of people guidance – Jan 2010

Equality relevance is not fully expressed e.g. the section about choice of photographs from an agency could refer to considering the use of non-traditional images. This could help foster good relations by tackling stereotypes and perceptions.

There is a section '*What about equalities issues?*' but this is not comprehensive e.g. it mentions using images of different ethnic communities and positive images of disabled people but there is no reference to avoiding the use of stereotypical images of age and gender.

The guidance also refers to the Disability Discrimination Act.

We recommend that the guidance is updated

- Staff Survey report 2013

The report provides a breakdown of the findings by Directorate and Grade but not by the Protected Characteristics. We were unable to find out if staff survey data is routinely collected and disaggregated by protected characteristics.

We understand that another staff survey is proposed for January 2016

We recommend that the next staff survey includes equality monitoring and that there is an analysis of the data against key survey questions

EIA Tools and Guidance Review (also see appendix)

We reviewed a range of EIAs, the EIA template and guidance.

The EIAs were drawn from across the Council's functions and were dated between 2011 and 2014. In some cases the EIAs were in draft form and we were told this was because they were subject to consultation.

As with the document review our aim was to look at how the Council demonstrated due regard to the 3 aims of the Public Sector Equality Duty (general duty) when carrying out their functions.

In reviewing the EIAs we were mindful of the other two important concepts of the Duty, Relevance and Proportionality and of the principles established by the Courts in determining the whether public bodies have had due regard. We also looked for evidence that consideration had been given to all of the protected characteristics (as applied in respect of the Equality Duty).

We developed a question template to ensure consistency of approach when reviewing EIAs. The template focused on such issues as sources of evidence analysed, reasons given for evidence gaps, consideration of intersectionality and cumulative impact, actions to mitigate adverse impact and the review arrangements.

The quality of the EIAs we reviewed varied enormously and we found that a number of common themes emerged:

- The purpose of the policy is usually made clear in the EIA and is aligned with the Corporate Priorities where relevant
- The responsible officer for the policy is named
- The intended beneficiaries of a policy are not always made clear in the EIA
- In most cases consideration of relevance to equality and proportionality is not explicit or is only partly addressed
- Evidence of giving due regard to all 3 aims of the Equality Duty is not apparent in most examples reviewed or is only partly addressed
- In all of the examples reviewed there was only a partial consideration of all 9 Protected Characteristics. Where some have been excluded the reasons for doing this are not always clear
- In most cases the evidence that has been used for the analysis is stated but where evidence gaps are identified it is not always made clear whether action will be taken to close these gaps
- Statements are made about there being no impact without providing any supporting evidence to demonstrate how this decision was made

- Statements are sometimes repeated in the EIA without explaining why the same conclusions were being reached
- Consideration of cumulative impact or consideration of intersectionality data is rarely evident
- There is little evidence of review arrangements despite statements made in the EIA that would imply a review was crucial, for example, when statements are made about assessing impact as proposals develop
- Evidence of an audit trail not always apparent
- In some instances the EIA was extremely lengthy (one example was 61 pages) which could make it inaccessible as a working document

We reviewed the exiting guidance on equality analysis to determine how staff were supported to undertake this activity. We found that the guidance placed the emphasis on the process rather than explaining the context for equality analysis.

We included questions in the random survey of staff to gather views on the extent and usefulness of equality related training (including on equality analysis). We also asked whether staff needed further support to help them undertake equality analysis. Of those staff who responded to the survey only 13% answered the question on training and around a third of these respondents said that they had received training on conducting EIAs. In addition staff were asked whether training had been offered to them in the last 2 years and of those who replied, the majority (90%) said that they had never been offered EIA training.

Recommendations

1. Refresh the online guidance and template on equality analysis to make it more 'user-friendly' and once developed ensure that it is widely promoted
2. Raise awareness of equality analysis and its relevance to the Council's work with a view to shifting the mind-set from focusing on process to being proactive – this could be via targeted workshops reinforced by online learning
3. Provide support to staff on identifying and interpreting data sources
4. Develop staff understanding of the importance of cumulative analysis and how to do this
5. Provide opportunities for peer learning on equality analysis, e.g. open forums to share challenges and solutions
6. Explore where due regard and equality analysis can be included in generic policy and project guidance, templates and review arrangements. This would help position equality analysis as integral to policy/project development. It could also save staff having to complete a number of different templates to ensure an audit trail.
7. Ensure that due regard and equality analysis are included in the development of the Haringey Academy's faculties, in particular in the programmes and plans to support staff excellence in commissioning, customer service and programme management.

8. Where functions are contracted out ensure that there is explicit information in the contract about the obligations on the contractor to take account of the Equality Duty and have fair employment practices and ensure that service reviews take account of this requirement.

E&D Training

A review was conducted on the current system and we were informed that e-learning module was completed by 77.2% of Haringey's workforce since 2012. However the Equality & Diversity e- component of this was not mandatory reflecting in just 119 employees completing it over a 3 year period (2012-15). This is a marked undersubscription onto this program.

There were 13 face to face Diversity Awareness and Undertaking your Equality Impact Assessment sessions attended by 91 staff between years 2011-15

In terms of the feedback from all the above session, it was very difficult for us to understand the scoring system used to relate to the schedule.

Recommendations:

1. The e- program and its successor should have a classroom based format for those employees who do not have computer access. This blended format will be able to reach further into the workforce.
2. This course should be mandatory for all employees especially managers to help target common development needs.
3. That the replacement system where 'off the shelf' or bespoke should have input in its design / systems by staff who work within the various Haringey communities or staff network groups.
4. There should be more information on bespoke Equality and Diversity awareness training on specific strands. For example, Race and Cultural capability, LGB awareness, Trans awareness, Disability awareness, Deaf awareness, Gypsy, Roma and Traveller awareness, Asylum Seeker and Refugee awareness etc. All modules should include video case studies and more interactive quizzes to check learning.
5. More comprehensive feedback on the use and impact of the sessions should be undertaken.

Intranet Review

A review was conducted of the Council's current intranet.

We found that equality and inclusion information was not prominent and that there was no obvious link from the Home page (we had to do a search to get to the equality pages).

We found that the equality pages had of out of date information and some broken and/or obsolete links. For some information (e.g. EIA guidance) staff would have to go to the external website.

We were informed that there had been 758 hits on the equality section over the last 2 years. This suggests that staff do not access the content that frequently. N.B. in the random survey of staff, 32% of the respondents to the statement '*You know where to look for information and guidance on equality, diversity and inclusion*' ticked 'not confident' or 'slightly confident'.

We understand that the intranet will be redesigned in the autumn and that the intention is to have a greater focus on advice, tools and information. We have been told that the specification for the new intranet explicitly states that the design must be fully accessible.

The intranet redesign provides an opportunity to rethink how equality information is presented and to link it more directly with other strategic pages/information and to align it more closely with other tools and guidance. For example, MY Conversation guidance and online resources developed for the Academy Faculties and to generic project management information.

In advance of the redesign of the intranet we recommend the following changes to equality content on the intranet:

1. Have a Home page link to the equality pages so that content is more prominent and can be accessed quickly by staff seeking information
2. Update the content and remove out of date information and obsolete links
3. Ensure documents are dated so that it is easy to identify content to be refreshed
4. Align any guidance for staff and Members more closely to the key functions of the Council e.g. commissioning, partnership working, employment, residents
5. Have EIA guidance and template available on the intranet for staff to access directly rather than them having to the external website
6. Provide an update on progress against the Council's Equality Objectives
7. Provide a summary of equality monitoring data so that it is transparent to staff how data is used
8. If the feedback questions on the intranet pages are to be retained then these need to be reviewed at regular intervals and action taken to address comments

9. Include a reference to Human Rights and links to the Harassment and Bullying policy and relevant information on the HR pages

Recommendations for other existing intranet pages:

1. 'All About Change' page

Add equality reference to the 'Risks & Issues' log (legal and reputational issues)

Expand the reference to 'cultural diversity' currently in the 'Stakeholder Engagement Guidance' to take account of other equality issues

Add a reference equality analysis to the 'Post Implementation Review'

2. Customer Service Transformation page

Consider including service related equality monitoring data

3. HR pages

Ensure that any E&D related information cross refers to the main E&D pages and is up to date.

Staff survey outcomes

As Haringey Council's workforce must recognise and respond to the needs of its residents in terms of deciding / reviewing policies but also provide services and where possible recommendations to address failings.

The Survey questionnaire was designed and developed by the Project Team. A 56 item questionnaire which measured respondents perceptions of cross cutting themes around equality on a range of issues. This process may be a catalyst for staff to talk about related problems or conflicts they are experiencing or have experienced in the past and offered the advantage of an effective way of reaching a large number of staff to record their views. In order to maximise this point, randomly 13% of all staff received the questionnaire. Enei hosted the survey to show the independence and the seriousness that Haringey Council viewed the survey.

Analysis of the Survey was quite comprehensive using specialists in this field for more in depth analysis than standard (see appendix).

Equality Analysis Staff randomly selected to complete Equality Audit Survey

	<u>Headcount analysis</u>		
Analysis of the staff randomly selected to complete the survey reveals a split consistent with their profile the directorate areas of staff randomly selected to complete the survey.	Randomly selected for survey	Headcount Mar' 15	% Directorate Headcount
Directorate			
Chief Operating	155	1341	12%
Corporate	15	119	13%
Governance			
Deputy Chief Executive	175	1144	15%
Regeneration, Planning & Development	32	178	18%
Grand Total	376	2782	100%

The number of Haringey employees who went on to complete the survey after opening the survey email was very high (around 90%), however, the major obstacle is with employees not opening the email containing the link at all.

Increasing Data Sets

As part of the tender specification, enei has added in the appendix section, the Guide to Equality Monitoring. This is to support Haringey Council increase reporting on Protected Characteristics by its staff.

Benchmarking against neighbouring Councils

- Haringey is comparable in that it has an equalities section on website which provides equality information, mostly around service delivery aspects. Some good practice
- Barnet and Camden have little focus on monitoring data and in the case of Barnet it dates back to 2005/6
- Areas that it could improve on are as follows
- Barnet publish quarterly progress monitoring to keep an active focus on equalities
- Barnet publish corporate objectives that provide greater detail on workforce objectives
- Camden tie in their equality objectives to their health and well-being strategy, this is explicitly presented.
- Camden provide detail on their equality structure
- Hackney make prominent their awards (Equality framework for local government and Stonewalls diversity champions programme). Hackney have undertaken a diversity peer challenge as
- Islington demonstrate very well how they are taking EDI seriously by publishing current research
- State of equalities annual report 2015
 (<http://www.islington.gov.uk/publicrecords/library/Community-and-living/Information/Advice-and-information/2014-2015/%282015-01-30%29-State-of-Equalities-Report-2015.pdf>)
- Equalities review summary report
 (<http://www.islington.gov.uk/publicrecords/library/Community-and-living/Information/Factsheets/2014-2015/%282014-05-02%29-Equalities-Review-Summary-Report.pdf>)
- 'Equalities report 2015' on workforce analysis
 (<http://www.islington.gov.uk/publicrecords/library/Community-and-living/Quality-and-performance/Reporting/2014-2015/%282015-02-26%29-Equalities-Report-2015.pdf>)
- Islington make EIA user friendly by reference to 'Resident Impact assessments' rather than 'equality impact assessments'
- Islington detail their equality events prominently

Appendix 1 **Selected EIA Reviews-** Equality Analysis (EA) Assessment Template - VOLUNTARY SECTOR STRATEGY 2011-16 & THE VOLUNTARY SECTOR COMMISSIONING AND FUNDING FRAMEWORK

POLICY/PROJECT NAME: Voluntary Sector Strategy 2011-16 & the Voluntary Sector Commissioning and Funding framework EA DATE: Dec 2011	
	COMMENTS
Is the purpose of the policy identified in the EA?	Yes VS Strategy and its Funding framework ' <i>aim to promote equality of opportunity</i> '. The EIA is to examine how the Strategy and framework will ' <i>ensure equality of access to Council. Support and funding</i> '
Does the EA state how the policy aligns with the Council's Strategic Priorities?	Produced before Corporate Plan
Does the EA state the intended beneficiaries and stakeholders of the policy?	Reference to HAVCO mapping document (see below) breakdown of beneficiaries and table provided Says that 'analysis of finding to VS partners in 2011/12 is presently ongoing and is a key activity in this EQIA action plan'
Is responsibility for the policy made clear?	Yes
Has relevance to equality been considered?	To some extent
What evidence is there to demonstrate that all 3 aims of the General Duty been considered? <ul style="list-style-type: none"> • Eliminate discrimination, harassment & victimisation 	Evidence of consideration of each of the 3 parts of the general duty is lacking

<ul style="list-style-type: none"> • Advance equality of opportunity • Foster good relations 	
<p>What type of evidence has been analysed?</p>	<p>States that specific equalities information about people accessing services from the 1600 groups in Haringey is not available. Key research document is HAVCO commissioned 'Mapping of Haringey's Third Sector' 2009 ONS and GLA data also used</p>
<p>Is there evidence against each of the protected characteristics?*</p> <p>*Only the first aim applies to Marriage & Civil Partnerships and only in respect of employment</p>	<p>Yes to varying detail</p>
<p>Are reasons given for any evidence gaps?</p>	<p>TSO mapping didn't cover all PCs in same level of detail Limitations of evidence are explained to some extent</p>
<p>Has any likely or actual adverse impact been identified and if so are there actions to eliminate or mitigate this?</p>	<p>States that there is no evidence to suggest any disproportionate impact (age, sex, disability, religion, LGBT) but yet limitations of the evidence are stated. Some inequality of access to VS services for BME groups Says that further work is needed to understand impact in terms of gender reassignment, race, disability Intention is that as directorates implement the Framework and develop commissioning briefs; this work will be subject to EIAs. Says that there will be continuous contract monitoring – will this include equalities data on service users?</p>
<p>Has intersectionality been considered?</p>	<p>Age and gender/ disability and age data provided</p>

e.g. impact on minority ethnic women	
Has cumulative impact been considered?	Not evident
Is there an audit trail? <ul style="list-style-type: none"> • Date/signature of person completing the EA • Date/signature of person authorising the EA • Destination of the EA (name of relevant committee etc) 	Yes although there is no reference to where the EIA has gone
Are the review arrangements made clear?	An action plan is provided with lead persons and timescales (only one action has a specific timescale, the rest are 'ongoing')
Is there a reference to quality assurance/ peer review?	Yes
Rate the EA on a scale of 1 to 5 (1 being excellent and 5 being unsatisfactory)	<p>3</p> <p>The document is very detailed and is a report rather than a completed template. Feels retrospective.</p> <p>Size of the document (61 pages) makes it rather inaccessible – how was it used?</p> <p>Tables are not properly aligned which makes it difficult to read the data and there are some spelling mistakes in the document - could indicate that this EIA was about going through the process rather than giving due regard</p> <p>Did it go to Members in this form?</p> <p>Refers to consultation on the Strategy and Framework. How diverse were the consultees?</p> <p>Says that the Strategy and framework will promote equality of opportunity but how can this be if the aim is to rationalise finding for</p>

	VCS provision?
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Appendix 2 Equality Analysis (EA) Assessment Template - HOMES AND NEIGHBOURHOODS WHERE PEOPLE CHOOSE TO LIVE AND ARE ABLE TO THRIVE

POLICY/PROJECT NAME: Priority 5 - Homes and neighbourhoods where people choose to live and are able to thrive EA DATE: Oct 2014 – this is a draft EA (appears as a draft on website)	
COMMENTS	
Is the purpose of the policy identified in the EA?	<p>This is a draft EA in respect to a package of proposals relating to the Council’s Strategic Priority 5.</p> <p>An overview of plans is provided - it is not clear whether all elements referred to are being considered for their relevance to equality and how due regard is being shown as proposals are being developed (no dates are provided). For example have the 3 work streams of the Housing Transformation Programme.</p> <p>Reference is made to HfH having responsibility for doing EA as part of its contractual obligations to the Council but it is not clear how this is measured (a quick check of HfH website showed summary report on EA dated 2009). Does the contract make specific reference to the Equality Duty?</p> <p>It is not made clear that the Duty can’t be delegated?</p>
Does the EA state how the policy aligns with the Council’s Strategic Priorities?	<p>No evidence provided of a link</p> <p>Other key areas of work are mentioned e.g. Medium term Financial Strategy but no indication is given of how due regard has been considered.</p> <p>Has cumulative impact been considered?</p>

Does the EA state the intended beneficiaries and stakeholders of the policy?	It refers to residents and staff
Is responsibility for the policy made clear?	The project lead is named
Has relevance to equality been considered?	Not specifically referred to
<p>What evidence is there to demonstrate that all 3 aims of the General Duty been considered?</p> <ul style="list-style-type: none"> • Eliminate discrimination, harassment & victimisation • Advance equality of opportunity • Foster good relations 	<p>There is no evidence that each aim of the PSED has been consciously considered. A summary table of the initial EA on each of the savings proposals is set out which refers to impact but not against the 3 aims. Where negative impact is identified this is not broken down by PC and no evidence is given to support the statement of no impact.</p>
What type of evidence has been analysed?	<p>Sources are listed but no information is provided on disaggregated data within each source e.g. does the Housing register break down applicants by gender, age, ethnicity etc?</p> <p>When reference is made to a PC this is not disaggregated e.g. likely positive impact is stated for disabled people but no evidence of consideration of differential impact in terms of physical, sensory, mental health etc is provided</p>
Is there evidence against each of	The PCs are listed but the same statements are made against each – that impact will be assessed as proposals are developed. No date is provided for this and as this overarching

the protected characteristics?* *Only the first aim applies to Marriage & Civil Partnerships and only in respect of employment	EA is in draft form it is not known whether consideration was given to the PSED being a continuing duty
Are reasons given for any evidence gaps?	No
Has any likely or actual adverse impact been identified and if so are there actions to eliminate or mitigate this?	The draft EA is insufficiently developed to determine this
Has intersectionality been considered? e.g. impact on minority ethnic women	No evidence provided of consideration
Has cumulative impact been considered?	No evidence provided of consideration N.B. given that there are a number of proposals being developed the need to consider cumulative impact would be important
Is there an audit trail? <ul style="list-style-type: none"> • Date/signature of person completing the EA • Date/signature of person authorising the EA • Destination of the EA 	The template provided the names of the person completing the EA and the Director/Assistant Director. There is no named person responsible for review nor is a date provided. There is no clear audit trail. The EA was published in its draft form.

(name of relevant committee etc)	
Are the review arrangements made clear?	No and yet this is crucial given the commitments made in the EA
Is there a reference to quality assurance/ peer review?	No
Rate the EA on a scale of 1 to 5 (1 being excellent and 5 being unsatisfactory)	As it is a draft and contains little in terms of follow through it is difficult to rate. As a stand-alone document it is not easy to follow as it covers many different proposals etc. How useful is it for informing decision-makers (e.g. members) Does it demonstrate due regard? Only to a limited extent.

Other Comments:

- Have commitments been followed through e.g. EA of the Homelessness Strategy consultation in Jan 2015, the commitment to assess impact on staff as proposals are developed or to address the specified data gaps?
- Statements are made but not backed by evidence
- Dates for EA on key developments e.g. Services Reviews, are not provided – impact on the audit trail?
- The EA is repetitive in places e.g. Stages 2 & 5b.
- As Stage 6 identifies potential negative impact e.g. cuts in Housing Related Support and states that actions to mitigate etc will be part of the work-stream plans being developed – did this happen?, is the information available to view by those who question the impact?

POLICY NAME:RESTRUCTURE PROPOSALS Revised template EA DATE:	
	COMMENTS
Is the purpose of the policy identified in the EA?	Yes - The corporate context refers to improving the quality of parks and open space. Specifically achieving 16 green flag parks Ensuring 65% of parks inspected are graded A or B Investing and upgrading parks machinery Delivering the parks improvement plan
Does the EA state how the policy aligns with the Council's Strategic Priorities?	Yes – there has already been restructuring and cuts and further cuts are projected for the future so there is a need for efficiencies going forward – generating greater levels of income and through own efforts and with partners in addition to delivering responsive, high quality services whilst encouraging residents who are able to help themselves to do so. In addition to the financial constraints – there is a service context - the need for clearer lines of accountability and responsibility; an opportunity to bring together collective knowledge and experience into one service area and clear synergies across the service areas
Does the EA state the intended beneficiaries and stakeholders of the policy?	Stakeholders are staff within the departments beneficiaries only in relation to the outcomes of the redesigned services and those who will benefit from it – on the whole the council and its community
Is responsibility for the policy made clear?	Yes
Has relevance to equality been considered?	Yes -
What evidence is there to demonstrate that all 3 aims of the General Duty been considered?	Partially in relation to the identified impacts

<ul style="list-style-type: none"> • Eliminate discrimination, harassment & victimisation • Advance equality of opportunity • Foster good relations 	
<p>What type of evidence has been analysed?</p>	<p>Evidence sourced from workforce profile data according to grade bands and the protected characteristics of age, disability, race and sex.</p>
<p>Is there evidence against each of the protected characteristics?*</p> <p>*Only the first aim applies to Marriage & Civil Partnerships and only in respect of employment</p>	<p>Only those stated above</p>
<p>Are reasons given for any evidence gaps?</p>	<p>No - Reasons for other protected characteristics not included are not stated</p>
<p>Has any likely or actual adverse impact been identified and if so are there actions to eliminate or mitigate this?</p>	<p>Yes actions identified by revisiting ring-fencing arrangements, to reduce disproportion in relation to grade and race/ethnicity Also considering voluntary redundancy requests to reduce the potential for compulsory redundancy.</p>
<p>Has intersectionality been considered? e.g. impact on minority ethnic women</p>	<p>No</p>
<p>Has cumulative impact been considered?</p>	<p>No</p>
<p>Is there an audit trail?</p> <ul style="list-style-type: none"> • Date/signature of person completing the EA • Date/signature of person authorising the EA • Destination of the EA (name of relevant committee etc.) 	<p>Yes</p>

Are the review arrangements made clear?	No
Is there a reference to quality assurance/ peer review?	No
Rate the EA on a scale of 1 to 5 (1 being excellent and 5 being unsatisfactory)	3 – lack of intersectionality and lack of consideration of other protected characteristics without reasons given

Appendix 4 Equality Analysis (EA) Assessment Template - NEW PATHWAYS FOR PEOPLE WITH A PHYSICAL DISABILITY

POLICY NAME:NEW PATHWAYS FOR PEOPLE WITH A PHYSICAL DISABILITY	
EA DATE: 16 TH DECEMBER 2014	
	COMMENTS
Is the purpose of the policy identified in the EA?	Yes to provide a new range of provision less reliant on traditional institutions and more emphasis on reablement, independence and inclusion.

Does the EA state how the policy aligns with the Council's Strategic Priorities?	Yes it ties with their guiding principle of 'no more residential care' and the bigger picture of care nationally falling by 12% in real terms and as a result reduction in grants to fund in the way they did previously.
Does the EA state the intended beneficiaries and stakeholders of the policy?	Yes it identifies 795 people with physical disabilities support by adult social care.
Is responsibility for the policy made clear?	Yes – project lead Anne Carswell and Eamonn Dillon
Has relevance to equality been considered?	Yes
<p>What evidence is there to demonstrate that all 3 aims of the General Duty been considered?</p> <ul style="list-style-type: none"> • Eliminate discrimination, harassment & victimisation • Advance equality of opportunity • Foster good relations 	<p>Yes to a certain degree through the inclusion principle within the proposal they will ensure that the beneficiaries are not treated less favourably and working in partnership with housing providers to create supported living facilities within Haringey</p> <p>They also will expand their Shared lives service to include more people from all service areas</p>
What type of evidence has been analysed?	<p>Internal information from Harinet – which include data on age, gender, ethnicity, disability for the council and the borough</p> <p>Adult social care information – age, gender, ethnicity, disability and religion. There is a statement that data will be updated and further data collected at the consultation stage</p>
<p>Is there evidence against each of the protected characteristics?*</p> <p>*Only the first aim applies to Marriage & Civil Partnerships and only in respect of employment</p>	No – no information available for gender reassignment, sexual orientation and pregnancy and maternity
Are reasons given for any evidence gaps?	Regarding sex, age, race/ethnicity and religion/ belief – they currently do not have significant information at the time of submitting the assessment.

	Gender reassignment information is not collected by the adult social care information system and sexual orientation information is not collected
Has any likely or actual adverse impact been identified and if so are there actions to eliminate or mitigate this?	No adverse effect has been identified
Has intersectionality been considered? e.g. impact on minority ethnic women	No
Has cumulative impact been considered?	No
Is there an audit trail? <ul style="list-style-type: none"> • Date/signature of person completing the EA • Date/signature of person authorising the EA • Destination of the EA (name of relevant committee etc) 	Yes
Are the review arrangements made clear?	No
Is there a reference to quality assurance/ peer review?	No
Rate the EA on a scale of 1 to 5 (1 being excellent and 5 being unsatisfactory)	4 although some effort has been made to think through the impact on different groups – there is insufficient coverage of impact other than on disability and intersectionality and cumulative impact has not been considered There could be other means of identifying data from neighbouring boroughs or national statistics etc that could be used for comparison. There was mention of a consultation but not details enclosed and no findings identified

Appendix 5 Equality Analysis (EA) Assessment Template - PROCESS CHANGE (PLANNING AND BUILDING CONTROL)

POLICY NAME: Process Change (Planning and building control) EA DATE: 16/10/14 (created)	
	COMMENTS
Is the purpose of the policy identified in the EA?	Yes [see stage 2]. (But written in a way that is difficult for a layperson to understand the purpose- uses jargon and seems to be written for those who know the internal planning process.
Does the EA state how the policy aligns with the Council's Strategic Priorities?	No.
Does the EA state the intended beneficiaries and stakeholders of the policy?	No.
Is responsibility for the policy made clear?	No.
Has relevance to equality been considered?	No. (only with very vague reference to 'communities' and very high level thought given to impact on uptake of digital services on the basis of age, disability. Not evidence of findings based on actual user data or analysis of that
What evidence is there to demonstrate that all 3 aims of the General Duty been considered? <ul style="list-style-type: none"> • Eliminate discrimination, harassment & victimisation • Advance equality of opportunity 	No.

<ul style="list-style-type: none"> Foster good relations 	
<p>What type of evidence has been analysed?</p>	<p>Seems to be no analysis.</p> <p>These are referenced:</p> <p>(see Stage 3)</p> <p>Reference made to the composition of the planning and building control team, but no data source referenced.</p> <p>2011 Census Data</p>
<p>Is there evidence against each of the protected characteristics?*</p> <p>*Only the first aim applies to Marriage & Civil Partnerships and only in respect of employment</p>	<p>As in 'Has relevance to equality been considered?' above there is no evidence against PCs- just some very high level potential truisms such as [<i>Age: 'take up upon digital services can in some cases be dependent upon age with adoption differing between young and older members of the community; Disability: 'The extent to which this has a positive or negative impact depends on the nature of the disability and the support required to the individual'</i>]</p>
<p>Are reasons given for any evidence gaps?</p>	<p>No. Reference is made to more info being required from the BIP programme. It doesn't say what the BIP programme is, what data, the likelihood of the data being effective, when it is expected etc.</p> <p>There are no specific acknowledgements of gaps in data.</p>
<p>Has any likely or actual adverse impact been identified and if so are there actions to eliminate or mitigate this?</p>	<p>In a very vague way: 'The proposals are considered to have the potential for adverse impact upon those less able to engage with the Council's digital platform. No specific exploration of impacts on PCs are sub categories of PCs such as visual impairment.</p> <p>They are considered to be acceptable but it's difficult to understand what evidence that conclusion is based on.</p>

Has intersectionality been considered? e.g. impact on minority ethnic women	No.
Has cumulative impact been considered?	No.
Is there an audit trail? <ul style="list-style-type: none"> • Date/signature of person completing the EA • Date/signature of person authorising the EA • Destination of the EA (name of relevant committee etc) 	No. It lists a creation date and a Cabinet meeting date but not an approval date or authorised approver name
Are the review arrangements made clear?	No
Is there a reference to quality assurance/ peer review?	No.
Rate the EA on a scale of 1 to 5 (1 being excellent and 5 being unsatisfactory)	5

Appendix 6 Equality Analysis (EA) Assessment Template - TOTTENHAM REGENERATION PLAN

POLICY NAME: Tottenham Regeneration Plan	
EA DATE: 6/8/12	
	COMMENTS
Is the purpose of the policy identified in the EA?	Yes.
Does the EA state how the policy aligns with the Council's Strategic Priorities?	It doesn't state this definitively, but it seems very clear that it does due to the scale, purpose and definition of the plan proposed (see Step 1)

Does the EA state the intended beneficiaries and stakeholders of the policy?	Yes
Is responsibility for the policy made clear?	Yes. Lead officer and other officer involved are stated on page 1. (I am surprised though-given the scale of the plan- that more senior sponsorship isn't stated)
Has relevance to equality been considered?	Yes
<p>What evidence is there to demonstrate that all 3 aims of the General Duty been considered?</p> <ul style="list-style-type: none"> • Eliminate discrimination, harassment & victimisation • Advance equality of opportunity • Foster good relations 	This isn't specifically addressed. It's apparent that some of the outcome might positively impact all aims and some of the evidence list throughout step 2 points in that direction, but the report has not been written with any specific reference to these aims
What type of evidence has been analysed?	<p>Department of Communities and Local Government data such as deprivation indices; data from TfL on travel needs and diversity; information from organisation strategy (Haringey Homelessness Strategy).</p> <p>Reference is made to the plan being based on community consultation (see p14)</p>
<p>Is there evidence against each of the protected characteristics?*</p> <p>*Only the first aim applies to Marriage & Civil Partnerships and only in respect of employment</p>	<p>Yes and no. The protected characteristics are listed (see for example p7) but the consideration seems very patchy.</p> <p>Under age, the EIA picks up that 48% of children live in poverty in Tottenham. This seems a very useful observation.</p>

	<p>Under Race, Religion and Belief. Only race is addressed (usefully picking up differentials in employment between BME and white people). Under Disability, there is a stat linking disability and economic activity.</p> <p>Under gender, employment data is referenced indicating adverse employment outcomes for women. The data is quite old (JSA 2004-09)</p> <p>For Gender Reassignment, Marriage and Civil Partnership and Pregnancy and Maternity the blanket statement 'No specific information is available for this equalities strand. That seems surprising</p> <p>No information is given for Religion and Belief under Race, Religion and Belief. And that no reason for that omission is given.</p> <p>Overall it is interesting that in the report under 'Step 2' economic impact factors are listed first then reference is made to Equality information. The report reads very much like an Economic Impact Analysis with equalities impact tacked on.</p>
<p>Are reasons given for any evidence gaps?</p>	<p>Gaps in data are acknowledged on p12. For Gender Reassignment, Marriage and Civil Partnership and Pregnancy and Maternity it's simply stated that it's not collected. No reference to the gap on Religion and Belief</p>
<p>Has any likely or actual adverse impact been identified and if so are there actions to eliminate or mitigate this?</p>	<p>No. The conclusion of the EIA writer is that the plan mitigates adverse impact. Using the summary in Step 7 as evidence, there doesn't appear to have been a</p>

	thorough equality analysis to support that conclusion.
Has intersectionality been considered? e.g. impact on minority ethnic women	No
Has cumulative impact been considered?	No
Is there an audit trail? <ul style="list-style-type: none"> • Date/signature of person completing the EA • Date/signature of person authorising the EA • Destination of the EA (name of relevant committee etc) 	Yes
Are the review arrangements made clear?	No. the guiding questions in step 6 are not addressed. The response given indicates that this will be addressed in a later plan
Is there a reference to quality assurance/ peer review?	Yes. A policy officer quality checking and signing off
Rate the EA on a scale of 1 to 5 (1 being excellent and 5 being unsatisfactory)	2. (it appear to me to be more of an economic impact assessment than an equality one)

Appendix 7 SELECTED DOCUMENT REVIEWS AND COMMENTS FROM AUDIT

Corporate Documents	Relevance	Evidence of due regard to	Comments
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	to equality	equality	
1. Corporate Plan 2015/18	Yes		<p>Does not make reference to 'values' within which the commitment to diversity and inclusion could be outlined.</p> <p>Maybe helpful to define concepts such as 'commercial skills' and 'better customer service'.</p>
2. Our offer to staff	Not relevant. High level 'offer' on how Council will support and develop their staff		
3. Sustainable Community Strategy 2007 - 16	Yes	Strategy reinforces the public sector equality duty by a focus on eliminating inequalities, promoting good relations and cohesiveness, and advancing equality of opportunity (e.g. addresses economic prosperity;	The community engagement section is brief and probably doesn't give credit to the consultation and engagement work ongoing. This could be strengthened to demonstrate this key commitment and provide some examples of how Council monitor and evaluates disproportionality in

		<p>poverty and disadvantage; employment, training and education).</p> <p>Specific objectives are reflected in the Council's equality objectives.</p> <p>Focuses on the key areas of access, quality of services, outcomes, and treatment of people by the Council.</p> <p>Commitment to equality and diversity is implicit within the document.</p> <p>Provides details of how to seek alternative formats.</p>	<p>access, outcomes and satisfaction across the protected characteristics and vulnerable groups.</p>
<p>4. Corporate Health, Safety and Well Being statement and policy</p>	<p>Yes</p>	<p>Generally a robust generic policy with probable implicit reference to equality issues.</p>	<p>Include the following issues explicitly to demonstrate due regard to equalities issues.</p> <p>Duty to make reasonable adjustments to manage any risks involved in an employee performing their job safely or reasonable adjustments required to manage their wider health and safety requirements e.g. visual</p>

			<p>alarm system, pager, buddy etc.</p> <p>Process of PEEPs (Personal Emergency Evacuation Plans) to ensure a disabled or a vulnerable person can leave a building safely in the event of a fire etc.</p> <p>The process for testing evacuation chairs and other such equipment.</p> <p>Information/Signage should be available in a range of accessible formats given the diversity of staff and visitors.</p>
5. Workforce plan		<p>Equality audit and equality action plan part of delivery framework.</p>	<p>The workforce table on page 4 could include inclusive leadership principles – listening/ drawing out diverse viewpoints.</p> <p>Should benchmarking also occur against Borough/London regional demographics in addition to benchmarking against London Councils.</p> <p>‘Haringey Academy’ and ‘Culture Change’ to refer to inclusive leadership principles.</p> <p>‘Equality and Inclusion’ section could refer to equality monitoring along with the</p>

			stated EqIAs.
6. Procurement Policy		<p>Expired.</p> <p>Policy and Strategy 2008-2012 is different to the procurement strategy reviewed below.</p> <p>Policy is robust in that it embeds equality commitments.</p> <p>The strategy encourages suppliers to provide local employment and training.</p>	The same issues stated in procurement strategy section below apply here too.
7. Procurement Strategy	Yes	<p>Strategy expired 2013.</p> <p>Strategy recognises its due regard to the equalities duty. Emphasises equality of access to local businesses and voluntary organisations.</p> <p>Support for SME's and voluntary sector features in the procurement outcomes.</p> <p>Evidence of good practice is</p>	<p>Considerations for strategy as follows.</p> <p>Build in Assurance Checks to ensure equal opportunity is actually being considered when procuring contracts. To be undertaken by Corporate Procurement function.</p> <p>Outline how the Council can diversify the Central Purchasing Bodies arrangements in order to provide opportunities to SMEs and local businesses (consortia, small scale contracts etc.).</p> <p>Outline how the Council influences the</p>

		<p>noted, for e.g., Meet the buyers event; small business community forum; voluntary sector Compact; relevant equality guidance and development of specific training modules</p> <p>Strong E&D section and mention of strategy being equality impact assessed.</p>	<p>Collaborative Procurement Hubs to strive for a diverse supplier base (if remit allows).</p> <p>The Review of Performance Appendix could include a section on the Council's achievements in attracting SMEs/local trade; innovation undertaken in this area including the positive action referred to in the strategy (supporting and up skilling local trade enabling them to win contracts); lessons derived from the various SME/voluntary/social enterprise forums; etc. This will demonstrate the Council's commitment in this regard, enable transparency, and embed equality throughout the strategy.</p>
8. Council Leadership Qualities	Yes	Leadership qualities embed a diversity and inclusion approach by referencing areas like 'listens to understand different views', 'shows empathy for different perspectives' etc.	Reference to demonstrating 'inclusive behaviours' can be included so that the need for self-awareness of own attitudes and behaviours is emphasised given the necessity of this to achieve the qualities listed.
9. Flexible Working Policy;	Yes	Good range of flex options which take into account the	Policy and procedure is extremely wordy. In terms of accessibility this may present

<p>Flexi Time procedure; Flexible Retirement Policy</p>		<p>changing needs of employees.</p>	<p>difficulties for people with learning disabilities (processing and understanding the information), language proficiency etc.</p> <p>Consider detailing the duty to make reasonable adjustments in Statutory Duties section - applies to all flexible working options.</p> <p>Policy refers to DDA - update to current legislation.</p> <p>Policy is silent on how flexibility to follow specific cultural practices and holidays; flexibility in start/end times etc will apply.</p> <p>Policy should refer to how it will be monitored for consistency and fairness and in terms of equality analysis [disparities in protected characteristics and different grades (flex working requests can drop off at higher grades especially if staff do not feel comfortable in requesting)].</p>
<p>10. Grievance & Discipline</p>	<p>Yes</p>	<p>Grievance procedure adheres to ACAS good practice.</p>	<p>Consider being explicit in terms of E&D monitoring in terms of monitoring who is accessing the procedure, stages</p>

<p>Policies</p>		<p>E&D section refers to monitoring grievances by the protected characteristics.</p>	<p>progressed, and outcomes.</p> <p>Will Council undertake a policy assurance exercise especially where no/few grievances are received to assess any barriers such as a lack of confidence in the process, fear of repercussions, lack of diversity of investigating officers etc.</p> <p>Timescales should allow flexibility for part time workers for example (e.g., the 5 day timescale noted in the managers' guidelines).</p> <p>The management and employee guidelines do not refer to the duty to make reasonable adjustments throughout the process to ensure that disabled staff can access and participate fully in the grievance procedure. Disabled employees should be encouraged to speak to line manager or HR if having difficulty at any stage of the procedure.</p> <p>Procedure states the right to be accompanied. Refer to the ACAS code of practice which provides the necessary caveats e.g., not normally reasonable for workers to insist on being accompanied by</p>
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			a companion whose presence would prejudice the hearing etc.
11. Bullying and Harassment policy	Yes	Policy gives regard to confidential complaints procedure and adequately details monitoring and review process.	<p>Section 5 'what is harassment or bullying' can be made more concise and readable. Consider using the Equality Act definition of harassment for clarity.</p> <p>Policy does not mention harassment on grounds of 'association' and 'perception'.</p> <p>What is the position on bullying and harassment by visitors or third parties?</p> <p>In 'Key Principles' section could acknowledge that it is not the intention of the harasser, but the conduct itself and the impact on the recipient that determines what constitutes bullying and harassment.</p> <p>Policy could mention training for all staff.</p>
12. Maternity Guidance & Adoptive Leave Guidelines	Yes		<p>Could cover how time off for appointments will be managed.</p> <p>Guidance silent on shared parental leave arrangements unless covered separately.</p>

13. Maternity leave provisions	Yes	Policy follows good practice.	Policy outlines reorganisation. It could also include the position on how redundancies for pregnancy & maternity situations will be managed, for completeness.
14. Capability at Work procedure		<p>Capability procedures will be monitored by the protected characteristics.</p> <p>Capability to do job because of health/sickness is dealt with via a separate sickness policy.</p> <p>Allows for work colleague or representative to attend hearing and support employee.</p>	<p>Be explicit in terms of purpose of E&D monitoring - issues/disparities in terms of who is accessing the procedure, stages progressed, and outcomes.</p> <p>The procedure does not refer to the duty to make reasonable adjustments. Dismissal because of a reason arising from a disability will constitute discrimination. Consider entering a clause/statement about this duty. Possibly in 6.4.</p>
15. Sickness Absence Policy & Guidelines	Yes	<p>Good practice if reflected in policy and adequate regard given to gender reassignment, pregnancy and maternity, and disability.</p> <p>Policy recognises that above</p>	<p>References to sympathy should be replaced with empathy.</p> <p>3.1.4 – states Council may heed OH advice. NOTE - case law emphasises that employers should take into account OH advice, but not rely on it without question (Donelien v Liberata)</p>

		<p>characteristics may need to be treated differently when managing sickness. This would include the application of sickness policy triggers.</p>	<p>3.3.5 - states 'no preferential treatment will be given to employee off sick for an acting up position'. NOTE – Case law and EHRC suggest that a reasonable adjustment might involve a transfer to a position on a higher grade. Can consider promoting employee without putting them through a competitive interview as a possible adjustment (Archibald -v- Fife Council)</p> <p>Monitor policy against protected characteristics and identify trends.</p>
16. Stress Management Policy	Yes		<p>Duty to make reasonable adjustments to reduce stress needs to be explicitly stated in policy.</p>
17. Leave & Time Off Policy	Yes		<p>Caveat to be included that exceptions to policy may be made if a reasonable adjustment is required.</p> <p>How will requests for time off for religious observance/events be dealt with?</p> <p>Monitoring of policy to be considered for take up.</p>
18. Adoption leave	Yes		<p>What are the implications of shared</p>

information pack			parental leave in adoption scenarios?
19. Adoption Guidance for managers	Yes		<p>The <u>policy</u> on adoption leave should monitor the number of staff who take adoption leave, length of leave taken, returnees by protected characteristics.</p> <p>Might also want to state when adoption leave does not apply for example when a step-parent is adopting a partner's children.</p> <p>Clarify how time off for adoption leave appointments will be addressed.</p>
20. Induction/Probation/Support and Development	Yes	Policy allows for an extension of the probation period. This covers the need to consider extending probationary period due to disability related sickness, for example.	<p>Duty to make reasonable adjustments absent. Policy refers to general support only. If an individual is having difficulty performing their role during their probation due to a disability, consider reasonable adjustments. Or Council may be aware of adjustments required upfront.</p> <p>Include process for reviewing effectiveness of reasonable adjustments.</p>

Equality Specific Documents	Dated & Review Date	Employment and/or Service focus	Comments
1. Equality Impact assessment guidance		EqIA guidance sufficiently outlines how the EqIA process should be managed.	<p>When thinking about impact on particular groups, consider impact on intersectionality.</p> <p>Guidance is silent on when EqIAs should occur i.e., when developing new policies, reviewing policies, at the outset etc.</p> <p>Council may want consider including Human Rights impact (and FREDA principles) if this is not considered in guidance elsewhere. Concepts of Equality and Human Rights overlap.</p> <p>Consider peer reviews/assurance checks.</p>
2. Equality Act 2010 – key changes			Refers to s14 of the Act (dual discrimination). This has been postponed and is not currently in force.
3. Equality public sector duties: Members briefing 2010			Update doc to remove reference to 'duty' to reduce socio economic inequalities and dual discrimination. Duties repealed. Council may do work to address socio

EIAs (separate template to be used)	Dated & Review Date	Employment and/or Service focus	Comments
Health and Wellbeing Strategy	Yes	Plan is an 'easy words and pictures' version. The plan identifies the priorities for the Council on health and well-being and clearly based on equality needs analysis. It identifies health inequalities and is aligned to the equality objectives.	<p>economic inequalities but not a 'duty'.</p> <p>The content in the plan appears to be over simplified. Can maintain easy read version but include the necessary level of detail.</p> <p>Use quantitative data from strategic needs analysis to support reasons for priorities and demonstrating evidence based approach (Equality objectives includes data). Can also include details on the process undertaken to identify the priorities.</p> <p>Due regard has been given to requesting plan in different formats but lacks details by way of helpful examples.</p> <p>Include smart objectives and actions in 'what we plan to do' section to make strategy meaningful. Example, Item 3.5 (pg. 13) is visionary not practical.</p> <p>Lacks specificity regards actions Council will take in 'what we plan to do' sections.</p>

			Lacks details around consultation and monitoring/review of the various activity taking place.
Direct Services Restructure			
Care Act 2014	Yes	<p>Engagement and consultation built into implementation plans.</p> <p>Monitoring of under representation in access is noted in the EqIA.</p>	<p>Issues to be explored for the EqIA are as follows.</p> <p>The EqIA references 'A possibility of direct or indirect discrimination'. In the 'actions to mitigate' section, consider including unconscious bias training for staff involved. Especially given some of the concepts involved such as 'significant impact on the carer's wellbeing' are undefined in the Act and rely on staff interpreting these concepts in their 'everyday sense', hence subject to personal biases.</p> <p>Under representation in access is monitored by the key protected characteristics but no analysis shown regards which groups are underrepresented and any targeted interventions in this respect.</p>

			<p>Plan for monitoring for disproportionality in outcomes and quality of service in line with Councils equality policy are not noted.</p> <p>Consider whether any intersectionality data may be useful e.g. learning disability and female/BAME to identify any specific issues concerning these groups.</p> <p>EqIA could usefully list the qualitative issues identified for the protected characteristics/vulnerable groups as identified though the Councils own analysis and the engagement process.</p>
<p>Housing Strategy Consultation</p>	<p>Yes</p>	<p>Strategy based on needs analysis outlining the requirements in the Borough.</p> <p>Strategy refers to support options for vulnerable people, linking with employment and skills.</p>	<p>Policy does not make a big play on accessible homes. With an ageing population and increase in disability, policy could perhaps be more explicit in terms of the requirements in this area.</p> <p>Policy does not make mention of 'lifetime homes'?</p> <p>Summary of a comprehensive needs analysis would be useful identifying the requirements including whether any refuges/hostels etc were also required as</p>

			<p>part of the wider housing strategy for the Borough.</p> <p>The EqIA for this strategy should highlight the needs of certain faith groups for larger housing, trans people not seeking housing advice for fear of being outed or discrimination; possible higher rates of LGBT and trans in homelessness figures, etc.</p>
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Appendix 8 STAFF SURVEY FINDINGS

	Recommendation Year 1
Job descriptions and selection criteria are reviewed regularly to ensure they remain relevant and free from bias.	<ul style="list-style-type: none"> • EIA JDs and selection criteria to identify irrelevant and biased criteria • Date mark all JDs to show transparency • Audit departmental processes to ensure consistency • Deliver bespoke training on 'fair recruitment' and develop fair

	recruitment guidance
<p>Anyone involved in the selection process has been made aware of how stereotyping and personal bias can influence the process and knows how to avoid this</p>	<ul style="list-style-type: none"> • Unconscious bias training in the context of recruitment and selection • Create several new initiatives including Unconscious Bias training for managers • Develop 'Fair recruitment' guidance • Deliver bespoke training on 'fair recruitment' and develop fair recruitment guidance
<p>Opportunities for progression are open, transparent and fair?</p>	<ul style="list-style-type: none"> • Ensure recruitment policy and procedure is explicit on how Council will demonstrate openness, transparency and fairness, benchmark practice against this • Monitor promotions for protected characteristics and identify remedial actions • Performance appraisals to identify development and training needs of staff around equality issues (e.g. from challenges experienced in service delivery; unhealthy attitudes etc.) • Recognition of the business case for greater diversity (BME, women, older people) at higher levels. Develop effective talent management programmes incorporating visible role models, more balanced teams and greater alignment with community needs • Programme regular EDI surveys and focus groups to assess experiences and perceptions of equality within the workplace. • Improve governance to help embed E,D & I allied to long term staff development plans

<p>Staff are recognised and supported, regardless of whatever Protected Characteristics* they may hold.</p>	<ul style="list-style-type: none"> • Membership of organisations such as Stonewall and Race for Opportunity • Effective support to staff networks • Inclusive leadership training for all managers • Effective performance management and talent management programmes • Engage with equality groups on an annual basis about its programme of work • Consult with created relevant equality groups on performance audits which have a focus on equalities issues • Disaggregate future staff survey findings by protected characteristics.
<p>Have you ever experienced barriers to your career progression within the Council?</p>	<ul style="list-style-type: none"> • Create a Workforce Equality Plan to measure a series of targeted commitments and actions under nine headings to drive forward its equality work. • The Equality Plan should then be assessed on a quarterly basis, and a note of Progress Against Objectives made within the plan. • Deliver Inclusive leadership training for all line managers • Review mentoring programs across the Council
<p>Thinking about your most recent performance appraisal did you... Discuss your learning and development needs?</p>	<ul style="list-style-type: none"> • Review appraisal processes for fitness to address staff highlighting that the value of the performance appraisal processes.
<p>My own learning and development needs are being well met</p>	<ul style="list-style-type: none"> • Develop a reliable development baseline that can be cross referenced with career progression with equality information.
<p>I have undertaken learning and development activities in the last 12 months?</p>	<ul style="list-style-type: none"> • Create a Talent Action Plan • Each department should integrate diversity and inclusion into its

	workforce planning, for example by looking at the diversity of the talent among their staff.
The learning and development activities I have done in the past 12 months have helped with my performance and career progression	<ul style="list-style-type: none"> • Departments should also tailor the business case to its business outcomes and objectives. • The Council should continue to develop the Talent Action Plan so it targets all staff and promotes an inclusive culture.
Too busy to attend any training	<ul style="list-style-type: none"> • Committing time to address issues related to equality and diversity with the workforce, elected officials, trade union representatives and other stakeholders • The development and application of equality skills underpins the Council's improvement work. • There should be elements of mandatory provision in the training offer.
If you undertook training did you find it useful and relevant to your work? Equality Impact assessments	<ul style="list-style-type: none"> • Raise awareness of the Public Sector Equality Duty. • Greater communications about the importance of EIAs with staff, elected officers and other stakeholders. • Communicate more to give feedback on how equalities are being addressed in audit work and where more can be done.
All staff are treated with fairness and respect	<ul style="list-style-type: none"> • The Council should make clear how managers and officers will be held accountable for dignity at work programs across all the arms of the council
The Council actively strives to have a diverse workforce at all levels	<ul style="list-style-type: none"> • Use all communication tools to inform staff of data & drives to improve workplace diversity • Monitor and analyse – continuous reflection and improvement
Staff with commissioning responsibilities take account of equality and inclusion issues when commissioning services	<ul style="list-style-type: none"> • Make Equality Assessments Mandatory for all staff with service and workforce responsibilities

<p>Service reviews take account of equalities issues</p>	<ul style="list-style-type: none"> • Create a Corporate Equality Group which contains a mixture of key strategy, policy and performance officers. This group should report to the Corporate Leadership Team and has oversight over the development of equality and ensures that the focus on equality is maintained.
<p>You have not observed any incidents of unfair discrimination, bullying or harassment in the Council</p>	<ul style="list-style-type: none"> • Review existing whistleblowing strategies within the Council and if not fit for purpose make more robust. Posters in Council offices should highlight whom staff can turn to if they feel bullied or harassed. • Dignity at Work Champions should be developed to further support staff in this area. • Council should explore through various means including surveys experiences of bullying & harassment across all arms of the Council to detect trends which might highlight pervasive cultures within specific units. • Develop highly visible campaigns (e.g., Stonewall No Bystanders campaign) that tackle bullying and encourage reporting via easy and anonymous routes such as through HR, network groups, hotlines or dedicated points of contact.
<p>If you reported an incident of unfair discrimination, bullying or harassment you are confident it would be dealt with appropriately</p>	<ul style="list-style-type: none"> • Leadership development programmes should include content in all programmes to support current and future leaders demonstrating leadership on tackling bullying. • • Cases of resolved bullying & harassment in which no confidential restraints are in place should be shared through Council comms to show transparency and willingness to tackle all examples.

	<ul style="list-style-type: none"> • Have high quality , well communicated and enforced policies on equality and dignity at work goals
<p>'You are being treated fairly in terms of recognition of overtime, time off in lieu, flexitime etc.?'</p>	<ul style="list-style-type: none"> • Reaffirm through Council comms of its commitment to Agile & Flexible Working. Record staff data of those who apply and its success rate by manager, department and service unit. • Consult stakeholders in decisions which affect them
<p>Yes, I am interested in Staff Network And Would attend Staff Network meetings</p>	<ul style="list-style-type: none"> • Create Council Champions of Diversity & Equality • Engage with created equality groups on an annual basis about its programme of work • Consult with relevant equality groups on performance audits which have a focus on equalities issues • More positive action pathways to support staff in underrepresented groups reach their potential



Equality Monitoring

A guide for employers

Incorporating:

Employers
Forum *on* Age

Employers
Forum *on*
Belief

Employers 4 Fathers

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Introduction

The Equality Act 2010 sets out nine protected characteristics: age, disability, gender reassignment, marriage and civil partnership, race, religion or belief, sex, and sexual orientation. Equality monitoring is the process that employers use to collect, store and analyse data about the protected characteristics of job applicants and workers. Employers can use monitoring to:

- check how well their equality policy is working;
- analyse the effect of other policies and practices on different groups;
- highlight possible inequalities and investigate their underlying causes;
- set targets and timetables for reducing disparities; and
- make sure that job applicants and workers realise that the organisation takes equality and diversity issues seriously.

The types of inequalities that monitoring may reveal might include, for example, that:

- applicants from a particular ethnic group are not selected for promotion;
- men are concentrated in certain jobs, and women in others;
- fewer gay people apply for employment than might be expected;
- more older than younger workers are selected for redundancy.

Public sector employers may have to monitor matters such as recruitment, promotion, training, pay, grievances and disciplinary action by reference to the protected characteristics of their workers to fulfil their public sector equality duty. There is otherwise no legal requirement on employers, but doing so is highly advisable. Equality monitoring can help in:

- Providing evidence that your organisation is doing what equality law says you must do if a job applicant, worker or former worker brings a tribunal case against you;
- Winning contracts, if your organisation tenders for work in the public and private sectors, because equality has become increasingly important in procurement;

Effective monitoring is an important tool for measuring performance and progress towards equality and diversity goals and in building an inclusive working environment. Monitoring is not an end in itself and once data is collected it needs to be analysed and used to inform appropriate action.

Equality monitoring can help to:

- build reputation: the best performing organisations are those that invest most on promoting equality and diversity in their workforce;
- improve productivity: valuing and supporting the diversity of people's backgrounds and lifestyles is important in making the most of the contribution that they can make to organisational performance;
- recruit and retain the best from the widest talent pool;
- create awareness: signalling the organisation's understanding of and commitment to creating a more inclusive work environment;
- identify and address any inequalities in the application of employment policies and facilitate specific adjustments or interventions; and
- avoid risk: by helping to avoid damaging and costly employment tribunals or negative publicity

1. The protected characteristics

We recommend that employers collect equality monitoring data for each protected characteristic by asking job applicants and workers to select from a list of categories the group with which they associate themselves.

Where possible, to facilitate comparisons with official data, these categories should be compatible with those used in the population census and/or other survey statistics produced by the Office for National Statistics.

Employers should be aware that the way people classify themselves can change over time: therefore employees should be given an opportunity periodically to review and update their personal data, or ideally real time access via a self-service module .

The following points should be considered in relation to the protected characteristics:

Age

Organisations which hold employee data in an electronic database or records management system should gather age data by requesting date of birth, since it will normally be possible to aggregate and analyse individual records at any point with reference to any relevant age group.

Other organisations should consider collecting age data by reference to age bands, such as:

16-17
18-21
22-30
31-40
41-50
51-60
60-65
65 and above

Disability

Some people may be reluctant to reveal information about disability and employers should make efforts to explain the purpose of monitoring to alleviate any anxieties.

Although the Equality Act 2010 generally prevents employers from asking questions about health or disability before the offer of a job is made it is not unlawful under the Act where the purpose of asking such questions is to monitor the diversity of applicants.

Some employers choose to monitor by broad type of disability to understand the barriers faced by people with different types of impairment.

The question that asks whether or not individuals consider themselves disabled should explain that the Equality Act 2010 defines someone as a disabled person if they have a physical or mental impairment which has a long term and substantial adverse effect on their ability to carry out normal day to day

activities.

It will be helpful to give some examples of the wide range of conditions that may count as a disability under the Equality Act 2010 (such examples may include progressive conditions such as HIV and cancer, mobility, sight or hearing impairments or mental health issues such as depression) and to explain that when individuals answer the question, they should not take into account the effect of any medication or treatments used or adaptations made which reduce the effects of impairments. Individuals should think about the effect their impairment would have if these were **not** being used or made.

In relation to the definition of disability above, do you consider yourself to be disabled?

- Yes
- No

Gender reassignment

Monitoring numbers of transsexual staff is a very sensitive area and opinion continues to be divided on this issue. While there is a need to protect an individual's right to privacy, without gathering some form of evidence, it may be difficult to monitor the impact of policies and procedures on transsexual people or employment patterns such as recruitment, training, promotion or leaving rates.

Because many transsexual people have had negative experiences in the workplace, many may be reluctant to disclose or may not trust their employers fully.

Privacy, confidentiality and anonymity should be paramount. For example, diversity statistics should not be linked to IT-based personnel records that indicate grade or job title, as the small number of transsexual workers in an organisation may be identified by these or other variables, compromising confidentiality.

Employers should note that it is important to recognise that transsexual people will usually identify as men or women, as well as transsexual people. In light of this, it is not appropriate to offer a choice between identifying as male, female or transsexual.

A useful guide produced by the Scottish Transgender Alliance on the issues relating to the monitoring of transgender people can be downloaded [here](#). It recommends the following questions:

Please describe your gender identity:

- Male (including female-to-male trans men)
- Female (including male-to-female trans women)
- Non-binary (for example, androgyne people) *
- Prefer not to say

Is your gender identity different to the sex you were assumed to be at birth?

- Yes * (Please describe difference: _____)
- No
- Prefer not to say

Have you ever identified as a transgender or trans person?

- Yes *
- No
- Prefer not to say

If you are using an online form then the additional option exists to use logic rules to provide an supplementary question below which is only shown where the person selects any one or more of the previous answers indicated with a *.

Do you consider yourself to be within any of the following categories? (you can tick more than one if you wish)

- FTM / trans man
- MTF / trans woman
- Intersex person
- Non-binary gender person
- Cross-dressing / transvestite person
- Other type of gender variant person (specify if you wish)

Marriage and Civil Partnership

Data on marital and civil partnership status should be collected using categories which will enable comparisons to be made with census data. The 2011 census question was as follows:

What is your legal marital or same-sex civil partnership status?

- Never married and never registered a same-sex civil partnership
- Married
- Separated, but still legally married
- Divorced
- Widowed
- In a registered same-sex civil partnership
- Separated, but still legally in a same-sex civil partnership
- Formerly in a same-sex civil partnership which is now legally dissolved
- Surviving partner from a same-sex civil partnership

Race

Race data should be gathered using categories which will enable comparisons to be made with census data. The 2011 census questions on nationality and ethnicity were as follows:

How would you describe your national identity?

- English
- Welsh
- Scottish
- Northern Irish
- British
- Other, write in

National identity means a sense of belonging to a particular country or countries. It is subjective and self-perceived, and may differ from official nationality or country of citizenship. It is also conceptually different from country of birth and was included in the 2011 census for the first time.

If a question on national identity is included it should appear immediately before any question on ethnicity. Testing of the national identity question for the census showed that British-born people from ethnic minority groups were more likely to answer the ethnic group question if a national identity question was asked first, as it allowed them to state that they were British.

What is your ethnic group?

White

- English / Welsh / Scottish / Northern Irish / British
- Irish
- Gypsy or Irish Traveller
- Any other White background, write in

Mixed / multiple ethnic groups

- White and Black Caribbean
- White and Black African
- White and Asian
- Any other Mixed / multiple ethnic background, write in

Asian / Asian British

- Indian
- Pakistani
- Bangladeshi
- Chinese
- Any other Asian background, write in

Black / African / Caribbean / Black British

- African
- Caribbean
- Any other Black / African / Caribbean background, write in

Other ethnic group

- Arab
- Any other ethnic group, write in

Religion or belief

Although it may not fully allow for the declaration of non-religious beliefs, and may tend to inflate the numbers declaring themselves as Christian, we recommend that data should be gathered using categories which will enable comparisons to be made with census data. The 2011 census question on religion was as follows:

What is your religion? (This question is voluntary)

- No religion
- Christian (including Church of England, Catholic, Protestant and all other Christian denominations)
- Buddhist
- Hindu
- Jewish

- Muslim
- Sikh
- Any other religion, write in

The EFB guide to monitoring religion or belief provides further discussion of the issues involved and may be downloaded [here](#).

Sex

Data should be gathered by means of a binary choice between Male and Female.

Sexual orientation

Although some people may regard sexual orientation as a private matter, it is relevant in the workplace, particularly where discrimination and the effectiveness of equality policies are concerned. The way in which the question is asked is very important, particularly if employers are to ensure that the monitoring process does not create a further barrier. Sexual orientation data was not collected in the 2011 census.

We recommend that job applicants and workers should be asked about their sexual orientation using a question in this form:

What is your sexual orientation?

- Heterosexual/straight
- Gay man
- Gay woman/lesbian
- Bisexual
- Other
- Prefer not to say

Transsexual or transgender status should not be included within the section on sexual orientation.

Testing by the Office of National Statistics has shown that in order to improve the accuracy of responses the question on sexual orientation should feature before that on religion. They found that if the question on religion preceded that on sexual orientation it adversely impacted the sexual orientation response.

In some monitoring exercises, such as staff engagement surveys, it may be appropriate to ask a further question about how open an employee is about their sexual orientation:

If you are lesbian, gay or bisexual, are you open about your sexual orientation? (Yes, Partially, No)

- At home
- With colleagues
- With your manager
- At work generally

Stonewall has produced a useful guide on monitoring sexual orientation which can be downloaded

[here](#).

2. Gathering information for monitoring purposes

Monitoring will only generate meaningful and reliable results when employees feel safe and confident in disclosing personal information and when they feel assured that meaningful action will follow.

You need to tell applicants and workers the reason why you are asking them for monitoring information. If you make clear why you want the information and how it will be used, who will see it, how their privacy will be respected and so on, it will make it more likely that people will provide the information.

People may be worried about responding fully or honestly, perhaps because they are concerned the information will be used to discriminate against them or they've had a previous bad experience where the information was used in the wrong way. This may be especially true for job applicants and for particular characteristics, such as disabled people with a mental health condition.

You should provide details of the process you have in place for gathering, storing and using information in order to reassure people who give you information that you will not use their information to discriminate against them, harass them or victimise them, and gather, keep and use information in a way that ensures that this cannot be the case.

For example, monitoring forms completed by job applicants should be separated from their application forms by someone who is not involved in the decision about who to shortlist and interview.

In most cases, no-one is required to supply you with any information at all, whether they are a job applicant or an existing worker. You must not treat someone less favourably because they refuse to supply monitoring information.

3. What to monitor?

We recommend that employers consider monitoring the list of areas below. This list is not exhaustive and, depending on your organisation's size and resources, you may wish to consider monitoring additional areas.

Recruitment

Knowing how many people with a particular protected characteristic apply, get interviewed and are successful at interview can help you to ensure that you are recruiting without discriminating. If you find any areas where there is under-representation of people with a particular protected characteristic, you might consider changing your recruitment methods. Such changes might include alterations to your advertising methods, your application processes and your interviewing methods. If there are no gaps or obvious areas for improvement in your recruitment processes and yet the workforce is still not representative then you could consider taking 'positive action' measures.

Data should be collected at each of the following points:

- Sources of applications for employment
- Applicants for employment

- Those who are successful or unsuccessful in the short-listing process
- Those who are successful or unsuccessful at test/assessment stage
- Those who are successful or unsuccessful at interview

During employment

Monitoring the make-up of your workforce by the protected characteristics and monitoring various processes will tell you if people with a particular protected characteristic or characteristics are over- or under-represented and if you need to make changes to sort out any potential discrimination, which may well be unintended. It is good practice to monitor:

- Workers in post
- Workers in post by type of job, location and grade
- Applicants for training
- Workers who receive training
- Applicants for promotion and transfer and success rates for each
- Time spent at a particular grade/level
- Workers who benefit or suffer detriment as a result of performance assessment procedures
- Workers involved in grievance procedures
- Workers who are the subject of disciplinary procedures

On termination of employment

Monitoring employees who leave the organization, and their reasons for leaving can help to identify whether there is any underlying discrimination affecting workers with a particular protected characteristic. It is good practice to monitor:

- Workers who cease employment
- Dismissals for gross misconduct
- Dismissals for persistent misconduct
- Dismissals for poor performance
- Dismissals for sickness
- Redundancies
- Resignation
- Termination for other reasons

4. Privacy and confidentiality

Access to equality monitoring data, especially if not anonymised, should be on a 'need to know' basis and it should be protected and securely stored in line with data protection rules.

In particular, if someone is a transsexual person (someone with the protected characteristic of gender reassignment) who has a **Gender Recognition Certificate**, it may be a criminal offence to disclose this without permission, so you should be especially careful who knows this information and what is done with it.

If there are only a small number of people working for you or in a particular workplace or department, you need to be very careful about the level of detail you provide or even whether you share or publish information at all, even if it is 'anonymised' information. This is to avoid a situation where individuals are identifiable, even if their names are not used.

If you publish equality monitoring data, it is important that you do not breach workers' or applicants' confidentiality, or reveal anything which might enable someone to work out information about another person which was provided in confidence. This is particularly important in relation to protected characteristics where there is more likely to be fear of discrimination: sexual orientation, religion or belief, gender reassignment and some disabilities which may have stigma associated with them.

A sample code of practice on the collection and use of equality monitoring data is provided in the following Appendix.

APPENDIX

Sample code of practice on the collection and use of equality monitoring data

This code of practice relates to the confidentiality of information gathered about all ABC employees for the purposes of equality monitoring. For the purposes of the code this covers data on age, disability status, ethnic origin, gender reassignment, marital or civil partnership status, religion or belief, sex, and sexual orientation.

Equality information obtained will be treated with the highest degree of confidentiality. It will only be used for the purpose of monitoring the effectiveness of ABC's equality and diversity policies. On no account will data in respect of any individual be used for any other purpose or made available to any other body, including government departments, except as set out in paragraph 7 below.

Methods of collecting equality monitoring data

ABC collects the information through one of three possible routes:

1. staff self-completing their personal information details electronically through the HR Self-service function;
2. staff completing a paper questionnaire; or
3. applicants for posts completing the information on a paper or electronic questionnaire as part of the recruitment process

Self-classification

Data on the ethnic origin, any disability status, religion or belief, sexual orientation, sex and age of ABC employees will only be collected on the basis of self-classification by individuals. On no account will line managers or any other employee provide or be asked to provide classification on diversity for any employee.

Storing diversity monitoring data

Diversity information is held on ABC's HR database. Once the information is entered into the database, any completed paper questionnaire is destroyed. Access to the named data is limited to specific people within Human Resources who have responsibility for analysing or working with this equality data.

Access to diversity monitoring data

Access to diversity monitoring data of individual staff is restricted to the HR Diversity and Reward and Performance Teams and the HR Business Partners.

Use of diversity monitoring data

Neither printed nor electronic records of the diversity data of individuals set alongside their name, pay reference, National Insurance number or any other unique identifier will be produced except to enable individuals to confirm the accuracy of their record.

For disability status monitoring data, the following circumstances also apply:

1. To enable ABC to keep an accurate record of the equipment and other reasonable adjustments needed by disabled people.
2. To enable a regular review of non-financial reasonable adjustments and equipment and arrange for equipment to be updated when necessary.

Subject to the exceptions above, any output from staff records that includes information on equality monitoring data will always be in the form of counts, tabulations or other statistical summaries. These will be anonymised to ensure that if any individual from any diversity group can be identified in these summaries, exact numbers will not be published. Instead, the summaries will indicate by way of an asterisk. In all cases where there are fewer than five people from any diversity group the exact number will not be published but will be indicated by way of an asterisk.

The personal data will be used solely for the purposes of informing and furthering the ABC's equality and diversity policies.

Anonymised statistical data may be produced and made publicly available, including in response to enquiries from government bodies, local authorities, the police, employment tribunals and other bodies. This would include providing data to an individual/organisation, where needed, for specific projects or research to further equal opportunities policies, under strict confidentiality agreements.

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