

## EQUALITY IMPACT ASSESSMENT WORKBOOK



<b>Department:</b>	HR
<b>Corporate Document(s) this Equality Impact Assessment Relates to:</b>	Performance Management Joint Policy
<b>Associated Documents:</b>	Capability Procedure

Equality Impact Assessment	
<b>Developed By</b>	Rebecca Newman
<b>Part One Initial Assessment Approved By</b>	T/DCC Hall
<b>Part Two Full Assessment Approved By</b>	N/A
<b>Date Published:</b>	09/09/2013
<b>Review Date:</b>	04/02/2016
<b>Version Control:</b>	2

Date Reviewed	Name and Job Title of Reviewer

## PART ONE

### INITIAL EQUALITY IMPACT ASSESSMENT AND SIGNIFICANCE TEST

The Initial Equality Impact Assessment and Significance Test templates should be completed prior to seeking authority to proceed with the development of the following documents:

- Strategies
- Plans, including Contingency Plans
- Project Initiation Documents
- Policies and Procedures

The Initial Equality Impact Assessment and Significance Test grading will always be agreed by three people. This will give integrity and consistency to the process and will draw on the experience, knowledge and common sense judgement of more than a single individual. The following will usually be the posts involved in the process;

#### Policy and Procedure

- Policy or Procedure Owner or Holder
- Policy Officer
- Diversity Officer

#### Other Corporate Documents

- Corporate Document Owner
- Corporate Document Developer
- Diversity Officer

Advice on the types of information available to assist in the completion of the templates can be obtained from the Policy or Diversity Units.

It is recognised that there will be occasions when the knowledge and experience of the staff members involved in the Equality Impact Assessment process will be such that there may not be a need to undertake any initial research or consultation in order to complete the Initial Equality Impact Assessment. This is acceptable provided that the reasons are accurately recorded in the workbook.

## INITIAL EQUALITY IMPACT ASSESSMENT TEMPLATE

### 1.1 Summarise the main aim(s) or purpose of the corporate document.

Main aim(s) or purpose, including any benefits or outcomes	Date
<p><b>Aim:</b></p> <ul style="list-style-type: none"> <li>• To provide accurate and clear guidance on formal and informal performance management procedures for staff and line managers</li> </ul> <p><b>Benefits:</b></p> <ul style="list-style-type: none"> <li>• <u>Line Managers</u>: information on their role within the procedure, how to manage the process</li> <li>• <u>All Staff</u>: guidance on the stages involved in the process, entitlements to accompaniment and timescales involved,</li> <li>• <u>HR department</u>: clearly outlines the procedure and their role within it. HR staff can use this information to provide guidance to line managers and staff involved in the process, and to demonstrate Force policy when required externally (i.e. ET claims)</li> </ul> <p><b>Outcomes:</b></p> <ul style="list-style-type: none"> <li>• Consistent application of performance management procedures throughout the Constabularies</li> <li>• Clear guidance for line managers to follow</li> <li>• Clear guidance for individuals to be aware of their rights and responsibilities</li> <li>• Clear guidance on responsibilities during the performance management procedures</li> </ul>	

### 1.2 Identify individuals and organisations internally and externally that are likely to have an interest in, or be affected by, the corporate document. Where a review is being undertaken, if appropriate, highlight any changes to who might have an interest in the document.

Interested individuals and organisations	Date
Internal	
<ul style="list-style-type: none"> <li>• Police Officers (if managing police staff)</li> <li>• Police Staff</li> <li>• Line Management</li> <li>• UNISON</li> <li>• Commanders/Dept Heads</li> <li>• PCC</li> <li>• HR Department</li> <li>• ACPO</li> </ul>	
External	
<ul style="list-style-type: none"> <li>• Service Users/Customers – Making the performance management procedure clear and consistent should reduce performance issues occurring within the Constabularies, with issues being addressed rather than being allowed to continue. This could lead to increased staff productivity,</li> </ul>	

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<p>improved morale within departments, impacting upon service provided to customers (who may also be potential recruits).</p> <ul style="list-style-type: none"> <li>Members of the public – reduced levels of performance issues within the workplace will reduce negative publicity from employment tribunals, etc, and lead to fewer complaints about police staff behaviour from members of the public. It could also lead to an improvement of public perception of the quality of service provided by the organisations.</li> </ul>	
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**1.3 Who implements the corporate document and who is responsible for the corporate document?**

This includes shared documents, documents that affect contractors or other public or private bodies: for example Group 4 Security, Multi Agency Protocol or PFI.

<ul style="list-style-type: none"> <li>The HR Department is responsible for the development, review and implementation of the policy</li> <li>HR Advisors, Line Managers, Commanders/Dept Heads, and members of the Executive implement the policy.</li> </ul>
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**1.4 What factors could contribute or detract from the outcomes?**

<p>Line managers are sometimes not confident in tackling performance issues effectively within their teams, and may be put off by the legal implications of ‘getting it wrong’.</p> <p>Inconsistent application of the policy will affect the outcomes outlined above.</p>
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**1.5 Are there any concerns that the corporate document could have a differential impact on any of the following groups and is there evidence to support this?**

Group	Yes	No	Evidence	Date
Age		X		
Disability		X		
Gender reassignment		X		
Marriage and civil partnership		X		
Pregnancy and maternity		X		

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Race		X		
Religion or belief		X		
Sex		X		
Sexual orientation		X		
Family Status e.g. dependants or caring responsibilities		X		
Economic Status		X		

**1.6 Could the differential impact identified in 1.5 above amount to there being potential for adverse impact and, if so, can this be justified on any of the following grounds:**

- promoting good relations between diverse communities;
- promoting equality of opportunity;
- eliminating unlawful discrimination;
- eliminating unlawful harassment;
- encouraging participation in public life;
- addressing the specific needs of disabled people.

	Yes	No	Reason	Date
Is there potential for adverse impact?		X		
Can this adverse impact be justified?				

**SIGNIFICANCE OF INITIAL EQUALITY IMPACT ASSESSMENT**

Based on the information provided in the Initial Equality Impact Assessment template, assess the significance of the impact as either Low, Medium or High.

Guide to assessing significance:

**Low** – where the answer in respect of all eleven groups in 1.5 above is ‘no’;

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**Medium** – where the answer in respect of between one and four groups in 1.5 above is ‘yes’. However, if the likely adverse impact on any or all of those groups is considered to be particularly significant, it may be appropriate to classify the significance as High;

**High** – where the answer in respect of between five and eleven groups in 1.5 above is ‘yes’ or where the likely adverse impact on one or more groups is considered particularly significant.

<b>Low:</b> No further assessment required and review every three years.	<b>X</b>
<b>Medium:</b> Requires Full Equality Impact Assessment and relevant consultation in year one and bi-annual review.	
<b>High:</b> Requires Full Equality Impact Assessment and relevant consultation in year one and annual review.	

Equality Impact Assessment - Low Significance

Those corporate documents identified as having a low significance will be developed without the need to complete a Full Equality Impact Assessment. However, if during the course of the corporate document process equality issues are identified then the Initial Impact Assessment and Significance Test should be repeated.

Equality Impact Assessment – Medium and High Significance

The Full Equality Impact Assessment process will commence when approval has been given to develop the corporate document.

The Initial Equality Impact Assessment Template and Significance of Initial Equality Impact Assessment were completed by:

**Name:** Rebecca Newman  
**Position:** HR Manager (Policy & Reward)  
**Date:** 21 January 2013

**Name:** Abraham Eshetu  
**Position:** Diversity Manager (Norfolk)  
**Date:** 6 March 2013

**Name:** T/DCC Hall  
**Position:** T/DCC  
**Date:** 19 September 2013

**PART TWO****FULL EQUALITY IMPACT ASSESSMENT**

All questions should be considered from the perspective of all diversity strands, i.e. age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation and from the perspective of family status e.g. dependants or caring responsibilities and economic status.

**2.1 Research**

1. What monitoring arrangements are in place? (With new corporate documents there may be no arrangements in place, in which case go to question 2)	
2. What quantitative data has been considered?	
3. What qualitative information has been considered?	
4. Is there a public concern regarding the subject of the corporate document? If so, describe how these concerns have been identified	
5. Provide details of any changes in legislation or national guidance affecting the corporate document	
6. Summarise the findings	
7. Have gaps in the research or data been identified?	
8. Has the corporate	

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document been amended in light of the research findings?	
9. Outline any plans for further research or data collection	

## 2.2 Consultation

10. Which individuals and organisations internally and externally were consulted or involved and how were they consulted or involved?	
11. Have consultees been informed of the results of consultation or involvement and by what means?	
12. Summarise the key findings or outcomes of the consultation or involvement	
13. Has the corporate document been amended in light of the consultation or involvement?	
14. Is there a need for further consultation?	
The results of consultation should be recorded in Appendix A	

## 2.3 Equality Analysis and Review

15. Is there any evidence that the corporate document could be perceived as discriminatory or could damage good relations between people of different groups?	
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16. What might the negative implications of the corporate document be for the public or Constabulary staff?	
17. What might the positive implications of the corporate document be for the public or Constabulary staff?	
18. Is there any evidence that the corporate document has an adverse impact, directly or indirectly, on any members of the public or Constabulary staff?	
19. What changes, if any, have been made to the corporate document as a result of the Equality Impact Assessment to reduce adverse impact?	
20. What changes, if any, were considered but not implemented?	
21. If the potential remains for the corporate document to have a negative impact on members of one or more groups, explain why implementation is to continue and can this be justified?	
22. If your assessment is that the corporate document is likely to have an adverse impact is there an alternative means of achieving the document's aim, objective or outcome?	

23. What changes, if any, need to be made in order to minimise unjustifiable adverse impact?	
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**2.4 Monitoring**

24. What arrangements have been made to monitor the corporate document? Please identify monitoring review dates	
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**2.5 Summary**

25. Please provide a summary of the findings of the Equality Impact Assessment against the corporate document under each of the eleven diversity strands. This summary will be used by the Constabulary to inform the public and will become a public document.	
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**PART THREE**

**FINAL APPROVAL AND SIGN OFF**

**Assessment completed by:**

**Name:**

**Position:**

**Date**

**Signed by Corporate Document Holder:**

I am satisfied that [Name of Corporate Document) has been fully Equality Impact Assessed.

**Name:**

**Position:**

**Date:**

### Appendix A: Equality Impact Assessment Consultation Record

Consultee	Comment	Action
Norfolk Diversity Unit	<p>Paragraph 2.2, 'Underlying Causes' bullet point: Are we confident that our staff have the relevant understanding of what the issues could be. If it's a training need I think its fairly straight forward, what if it's a personal issue such as Mental Ill Health/Domestic Abuse / Fertility Treatment/Transitioning or Gender Realignment. If managers do not handle this part of the process sensitively it will have a detrimental effect on the rest of the process.</p>	<p>The policy clearly outlines that managers have responsibility for exploring the underlying issues behind poor performance. Whilst managers should be supportive where such matters mentioned are present, specific advice is available from HR.</p>
	<p>Paragraph 2.2, 'Support' bullet point: Again how do we ensure that our Managers have the skills to give what can sometimes be specialist advice and guidance. There is no mention here of using Staff Support Networks/ Unison / Police Fed / Diversity/Occ Health etc. Do our Managers know how certain issues are covered under the Equality Act in particular disability / gender reassignment etc.</p>	<p>Staff may seek support from a variety of sources. It would not be appropriate to provide a finite list of these. The support outlined in the policy relates to support provided by the line manager to achieve the performance required. No action required.</p>
	<p>Paragraph 2.2, 'Use of formal action' bullet point: This needs to be clearer – what circumstances and who decides ? What's the benchmark how do we ensure that its consistent.</p>	<p>This would very much depend on the circumstances and the nature of the poor performance. It would not be appropriate to define all of these. The PIU would be involved in any move to formal procedures and would provide consistency in approach. No action required.</p>
	<p>Paragraph 2.2, 'Information Recording' bullet point: Can't we just</p>	<p>Policy amended as requested.</p>

Norfolk Diversity Unit continued	<p>use simple words like ‘written at the time’ instead of words like contemporaneous? We have to remember that Managers of all abilities will be reading this and words need to be easily understood.</p>	
	<p>‘Informal Meetings’ section on page 4: No mention of having a work place companion or UNISON/Police Fed involvement.</p> <p>These first meetings can be really stressful especially if the member of staff has a personal or distressing issue that is affecting their performance and whilst I understand that if a member of staff doesn’t disclose any issues we can’t deal with it sometimes having a ‘friend’ there makes it easier.</p>	<p>The policy states in section 7.1 that “The individual does not have the right to representation during the informal process but any request to be accompanied by a friend, colleague or trade union representative will be considered by line management.” A request to be accompanied should always therefore be considered. No change required.</p>
	<p>Paragraph 5.1: What if the sickness is related to Domestic Abuse or IVF – our currently policies are inadequate and possibly discriminatory (especially IVF time off for women against men). If you compare the time off allowed for Gender Reassignment against IVF there could be some discrimination.</p>	<p>This paragraph provides guidance on which process to use in which circumstances. Any comments in relation to policies which discuss IVF and Domestic Abuse should be raised in the consultation process of those specific policies. No change required.</p>
<p>7.1 – Contradicts what is written in the Capability Policy. 7.1 says staff do not have the right to representation but in the Capability Guide it says at point 2.6 the individual has the right at every stage to be accompanied. This is contradictory and confusing.</p>	<p>The individual has the right to be accompanied at any stage of the formal Capability procedure, and requests for accompaniment to informal performance meetings will be considered. No change required.</p>	

Suffolk Diversity Unit	Paragraph 3.1: The last sentence does not read correctly, there should be “not” in the last line between ‘has’ and ‘been’.	Policy amended as requested.
	Paragraph 3.2, 3 <sup>rd</sup> bullet point: what are UPPs?	Policy amended as requested to reflect Capability Procedure rather than UPP.