

Appendix 1

Surrey County Council Equality Impact Assessment – Initial Screening Form



Please read the EIA toolkit for guidance before completing this form

<b>Service: COR</b>	Policy area: Performance	<b>Name of officer: Jackie Roberts</b>			
1. Is this a major policy: i.e. high profile / will affect many people / will have a severe effect on some people?	Yes		No	X	
	High risk. Complete a full EIA			Go to section 2	
2. Is the policy likely to have an impact on a specific group of people? (People from the E&D strands)	Yes		No	X	
	High risk. Complete a full EIA			Go to section 3	
3. For policies that have a low risk of impact on the E&D strands and where possible improvements have been identified complete section 5 below <b>and</b> sections 3 and 4 of the full EIA.					
4. For policies that have a low risk of impact on the E&D strands and require no action to be taken complete section 5 below.					
5. If this policy is low risk please give or attach evidence to indicate how you have reached this conclusion:					

Equality and Diversity strands that the policy is to be assessed against:	Age		Race		Disability		Gender		Belief / Faith		Sexual Orientation		Other equality issue(s)		HR Issues Only	
	+	-	+	-	+	-	+	-	+	-	+	-	+	-	+	-
Could the CONDUCT have a negative or positive impact? (Yes/No)	Yes	No	Yes	No	Yes	No	Yes	No	No	No	Yes	No				

Head of Service Signed: \_\_\_\_\_ Date: \_\_\_\_\_

## Appendix 2

### Surrey County Council Equality Impact Assessment Template

#### 1. Context of the Service or Policy

Policy area being assessed: Performance

Assessor: Jackie Roberts Date: 20 March 2009

**What are the aims of the service or policy? If this assessment is part of a project it is important to focus on the service or policy the project aims to review/improve**  
(NB this should set out the aims and objectives of the policy or service)

This policy area includes the following policies:

Capability  
Step ahead  
Long service awards  
Recognition awards

The aim of this policy area is to ensure that employees and managers jointly identify, discuss and address performance at work.

**Who are the beneficiaries /users of this service or policy?**

(NB this should address needs of client groups and a review of barriers to policy or services)

- SCC Employees
- Councillors
- Trade Unions
- Council Directorates
- Members of the public

**What is the existing situation in relation to minority, disadvantaged and excluded groups in which this service/policy operates?** (including age, belief/faith, disability, Gender/transgender, sexual orientation, race and other general equality strands or issues that might make people vulnerable. NB this will require declaring what information is currently captured with respect to equality & diversity Monitoring) of this service or policy. It is also important to show the relevance of capturing this data.)

The purpose of this policy area is to ensure that employees and managers jointly identify, discuss and address the performance at work by:

- Regular reviews of performance, potential and training and career planning needs;
- Looking forward and agreeing objectives so that individual performance can feed directly into the council's overall performance;
- Appropriate supportive action being taken by employees and managers to improve performance, at as early a stage as possible;
- Employees being given sufficient and reasonable opportunity to demonstrate that they can return to/maintain an acceptable level of performance;
- Employees being treated reasonably, fairly and consistently.

Impact on policies is monitored through

- Step Ahead Appraisal
  - One to Ones
  - Exit questionnaires
  - Feedback from managers and employees
  - Statistics held on formal performance management issues
  - Staff survey
- The Employment duty under the Race Relations Act 1976 (Statutory Duties ) Order 2003 states that:

It shall be the duty of such a person to monitor, by reference to the racial groups to which they belong, the numbers of:

- Staff in post.
- Applicants for employment, training and promotion from each such group, and where that person has 150 or more full-time staff, the numbers of staff from each such group who:
  - Receive training.
  - Benefit or suffer detriment as a result of its performance assessment procedures.
  - Are involved in grievance procedures.
  - Are the subject of disciplinary procedures.
  - Cease employment with that person.

Staff survey results indicate:

- 13% of disabled people felt their manager was not good at managing people
- 10% of Sikh and 12% of other people felt their manager was not good at managing people
- 11% of Buddhist people felt their manager was not approachable
- 26% of disabled people, 23% of Buddhist, 24% male employees felt

they did not receive sufficient training to do job role well

- 32% of disabled people, 36% of Buddhist, 24% of 50-64, and 29% of non heterosexual people were not satisfied with feedback on their performance

**2. Given what you already know, what is the potential for this service/policy to have a negative or differential impact on minority, disadvantaged, vulnerable and excluded groups or on race relations and community cohesion?**

Please summarise the negative impact identified due to age, belief/faith, disability, Gender/transgender, sexual orientation, race and other or general equality issues

The assessment of the written policies indicated that there is no significant potential for adverse impact on any of the equalities groups

Group	Yes	No	Comments
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<b>Age</b>	✓		<ul style="list-style-type: none"> <li>• The long service award may be discriminatory to younger workers. Justified to encourage retention of employees</li> <li>• Link between performance and absence might differentially impact on older people who require time out for caring responsibilities</li> </ul>
<b>Disability</b>	✓		<ul style="list-style-type: none"> <li>• The step-ahead process is in written format and may disadvantage employees requiring other formats such the employees with sight difficulties.</li> <li>• The system for measuring absence is rigid and does not reflect absence taken for reason of disability which might trigger a capability review under performance for a person with a disability</li> </ul>
<b>Gender</b>	✓		<ul style="list-style-type: none"> <li>• Link between performance and absence might differentially impact on people who require time out for caring responsibilities</li> </ul>
<b>Race</b>	✓		<ul style="list-style-type: none"> <li>• Statistics have indicated that BME employees are more likely to disciplined on capability measures than any other group. There is potential that the policy might be applied inconsistently</li> </ul>
<b>Sexual Orientation</b>	✓		<ul style="list-style-type: none"> <li>• Staff survey results indicate disproportionate dissatisfaction on performance by non-heterosexual employees. Greater understanding is required as to why this is the case</li> </ul>
<b>Religion/belief</b>	✓		<ul style="list-style-type: none"> <li>• Staff survey results indicate disproportionate dissatisfaction by Buddhist employees. Greater understanding is required as to why this is the case</li> </ul>

**3. Given what you already know, what is the potential for this service/policy to have a positive impact, such as tackling discrimination, promoting equality of opportunity and / or promoting good community relations, for minority, disadvantaged and excluded groups?**

Please summarise the positive impact identified due to age, belief/faith, disability, Gender/transgender, sexual orientation, race and other or general equality issues. NB this would include positive initiatives delivery by the service or through the policy for any/all of these equality groups. What have been the outcomes or changes?

The purpose of this policy area is to ensure that anti-discriminatory practices are embedded in the management of performance. Guidance

ensures that such issues are at the forefront of the minds of all those involved in performance management.

Group	Yes	No	Comments
Age		✓	
Disability		✓	
Gender		✓	
Race		✓	
Sexual Orientation		✓	
Religion/belief		✓	

**4. Give details of involvement, consultation and or research undertaken for each relevant equality and diversity grouping, upon which this policy/service has had an impact either internally or externally.**

**What is the research telling you in relation to age, belief/faith, disability, race gender/transgender, sexual orientation and other equality issues?**

The council sought legal advice on the implications of rewarding long service and is satisfied that provided the awards cover both continuous and aggregate service, and the award itself is of relatively low value, then disadvantage on the grounds of age is minimised and the desire to reward loyalty is proportionate.

The following additional consultation has been completed:

Staff survey

30 September - Half day HR intranet restructure workshop - HR policies

1 October - Meeting with the TU's on Fairness & Dignity policy

6 October - Benchmarking on Policies with Brighton & Hove Council

7 October - SCC and VT4S Working Together

10 October - Personnel & Appointment Committee (PAC) special meeting

21 October - Special audit of policies

28 October - Policy Streamlining internal team meeting

4 November - SCC and VT4S Working Together

13 November - SCCTU / HRLT consultation

17 November - Review of HR policies - internal meeting

18 November - Review of References Policy

20 November - Team meeting to discuss progress on HR policies

27 November - SCCTU / CCMT consultation

1 December - Meeting with Surrey Police Authority to discuss HR policies

1 December - Conference Call with "Jamkit" Policy Team

13 January - SCC and VT4S Working Together

15 January - SCCTU / HRLT consultation

27 January - Special consultation meeting with SCCTU on policies (1)  
 30 January - Special consultation meeting with SCCTU on policies (2)  
 10 February - SCC and VT4S Working Together  
 12 February - Special consultation meeting with SCCTU on policies (3)  
 12 February - SCCTU / CCMT consultation  
 19 March - SCCTU / CCMT consultation  
 23 March - Personnel & Appointment Committee meeting to agree the simplified and streamlined policies on the Council's s-net.

In addition there have been regular discussions and updates at weekly meetings of HRLT.

**5. Given your answers to the previous questions, how will your service or policy be revised to mitigate, reduce or eliminate negative impacts and enhance positive impacts for the relevant equality groups?**

(NB this is in effect the Recommendations to improve this policy)

<b>Recommendations</b>	
1.	The policies in this area should be subject to ongoing review to ensure that they continue to be fair and equitable, legislation changes and trends in formal performance management issues.
2.	Consider monitoring the reviews by the six strands of diversity to assess if differential impact is occurring and what action needs to be taken to address issues emerging

**6. Actions needed to implement the EIA recommendations:**

**Action Plan**

<b>Issue</b>	<b>Action</b>	<b>Expected outcome</b>	<b>Who</b>	<b>Deadline for action</b>
Consistent approach of application of policy	All managers to be trained performance management	Fair and consistent approach	Learning and development	Ongoing
Monitoring and Analysis of performance management	It is a requirement under the RRA amendment Act to monitor trends	Issues and trends are identified and corrective action is implemented	Pay & Reward	June 09

NB these actions should have SMART Targets  
 Please continue and attach a separate sheet if necessary

NB these actions should be reported to the Departmental Equality and Diversity Implementation Group (DIG) and incorporated into the Equality and Diversity Action Plan, Service Plans and/or personal objectives of key staff.

7. **If no actions are to be taken with respect to the recommendations please give reasons below:**

<b>Action Plan review date</b>	30 June 2009
<b>Name of person responsible for review</b>	Matthew Baker
<b>Name of person who carried out the assessment</b>	Jackie Roberts
<b>Name of Head of Service</b>	Carmel Millar
<b>Signature of Head of Service</b>	
<b>Date Completed</b>	26 March 2009
<b>Date sent for publication</b>	26 March 2009

1. Signed off electronic version to be kept in your team for monitoring and audit purposes
2. Send an electronic copy to the SCC 'Web Operations Team' for publication on the SCC website
3. Send Action Plan to DIG for review at its next meeting.