

Appendix 1

Surrey County Council Equality Impact Assessment – Initial Screening Form



Please read the EIA toolkit for guidance before completing this form

Service: COR		Policy area: Workplace Conditions and Raising Concerns			Name of officer: Jackie Roberts			
1.	Is this a major policy: i.e. high profile / will affect many people / will have a severe effect on some people?	Yes		X		No		
		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 and 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	Yes	No	Yes	Yes				

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: Workplace Conditions and Raising Concerns

Assessor: Jackie Roberts Date 19 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:

- Code of conduct
- Grievance
- Disciplinary
- Speaking out
- Managing diversity
- Fairness and dignity
- Staff appeals process
- Drug and alcohol policy
- Smoke free workplace
- Domestic abuse
- Employee assistance
- Office accommodation
- Recreational activities in offices
- Confidentiality and security of employee records

The aims of this policy area are designed to help employees of the Council achieve and maintain satisfactory standards of conduct or behaviour at work; ensure that where necessary there is a structured approach to finding a resolution to workplace problems; to outline key aspects of acceptable and unacceptable behaviour at work; and to promote good environmental working conditions for all staff.

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

What is the existing situation in relation to minority, disadvantaged and excluded groups in which this service/policy operates? (including age, belief/fait, 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 largely to regulate conduct and behaviour at work, and to provide staff with adequate redress to workplace issues by::

Encouraging high standards of integrity and personal conduct

providing an agreed framework to encourage free and open communication between members of staff and their managers to settle grievances fairly, promptly and as near as possible to the point of origin of the complaint

encouraging improvements in conduct and behaviour at work

ensuring that anyone who has serious concerns about any aspect of the Council's work can come forward and voice those concerns

providing a safe and secure place for employees to work and ensuring redress if that safety and security is threatened or breached

Ensuring compliance with the data protection act and confidentiality of personal data

SCC has an external telephone line through which matters of fraud, improper behaviour, bullying or harassment may be reported.

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

Feedback from Staff Survey results indicate:

- 68% of employees covering all the six strands of diversity felt they could not influence change
- 15% of chinese, 16% of disabled, 17% of non heterosexual employees had experienced or witnessed some form of bullying or harassment in the workplace

- 49% disabled, 50% 50-64 year olds, 55% male, 66% Asian, 100% sikh and 83% Hindu employees did not report a recent incident of harassment, bullying or discrimination

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

There appears to be issues amongst all strands with regards to witnessing, experiencing and reporting of bullying, harassment and discrimination at work as detailed in the table below. This needs to be explored with a complete review of the policies and function to identify what barriers might implicitly exist revealing this level of dissatisfaction amongst employees.

Group	Yes	No	Comments
Age	✓		<ul style="list-style-type: none"> • Disproportionate % of 50-64 year old employees have failed to report an incident of harassment, bullying and discrimination in the workplace
Disability	✓		<ul style="list-style-type: none"> • Disproportionate % of disabled employees have experienced and failed to report an incident of harassment, bullying and discrimination in the workplace
Gender	✓		<ul style="list-style-type: none"> • Disproportionate % of male employees have failed to report an incident of harassment, bullying and discrimination in the workplace
Race	✓		<ul style="list-style-type: none"> • Disproportionate % of Chinese, and Asian employees have experienced and failed to report an incident of harassment, bullying and discrimination in the workplace
Sexual Orientation	✓		<ul style="list-style-type: none"> • Disproportionate % of non heterosexual employees have experienced an incident of harassment, bullying and discrimination in the workplace
Religion/belief	✓		<ul style="list-style-type: none"> • Disproportionate % of Hindu employees have failed to report an incident of harassment, bullying and discrimination in the workplace

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 there are clear standards of conduct and behaviour; that employees are treated fairly and equitably and encouraged to improve should their conduct or behaviour fall below certain standards; and that staff have opportunities for redress should they feel they have not been treated fairly or appropriately.

Group	Yes	No	Comments
Age		✓	
Disability		✓	
Gender	✓		<ul style="list-style-type: none"> The domestic violence policy will encourage employees affected to explore alternative avenues of addressing the issue
Race		✓	
Sexual Orientation	✓		<ul style="list-style-type: none"> The domestic violence policy will encourage employees affected to explore alternative avenues of addressing the issue
Religion/belief	✓		<ul style="list-style-type: none"> The domestic violence policy will encourage employees affected to explore alternative avenues of addressing the issue

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?

Guidance has been sought, at various times, from relevant expert organisations including the Equality and Human Rights Commission and its forebears (EOC, DRC, CRE) and the Department for Business, Enterprise and Regulatory Reform (BERR) and its predecessor departments. Websites were accessed and enquiries made by telephone and e-mail for any insights into aspects of law and policy that had proved to be discriminatory under case law.

The following additional consultation has been completed:

- 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)

	Recommendations
1.	A complete review of the policies, procedures and function needs to be reviewed to identify why experiencing and reporting of incidents is significant amongst all diversity strands.
2.	Staff Recreational Activities in Offices - for completeness, this policy should include a statement about responsibility for equalities and fairness/dignity issues. For example, the extension to civil partners of invitations that have gone to heterosexual partners; disability access.
3.	Equal Opportunities - Transgender issues appear to have been overlooked. There is no reference or guidance as to how managers should manager transgender issues nor to the criminal offence of "outing" someone (see the Transgender Recognition Act 2004).
4.	It is important that these policies are backed up by relevant and regular training and retraining, and also subject to audit.
5.	Office Accommodation_- for completeness, this policy should include a statement about adjustments for those with a disability.
6.	Management monitoring and analysis of incidents by strands to identify problem areas and where challenge and training is required

6. Actions needed to implement the EIA recommendations:

Action Plan

Issue	Action	Expected outcome	Who	Deadline for action
Office accommodation	Include a reference to adjustment for those with a disability	Amended policy	Pay and policy team	Sept 2009
Staff recreational activities	Include a specific reminder of the need to consider equality issues with examples	Revised guidance	Pay and policy team	Sept 2009
Transgender issues	A separate policy is being consulted on	Greater awareness of the issues of this particularly sensitive area	Pay and policy team	Sept 2009
Policy, Procedure Review	Review all policies to identify what barriers might exist preventing the challenging and reporting of incidents in the workplace	Greater awareness of issues and increased reporting	Pay & Policy team	Sept 2009
Data Analysis	Identify how data can be monitored and analysed to identify where there is dis-proportionality of application	Issues identified and action plan developed	Pay & Policy team	Sept 2009

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:

Action Plan review date	30 June 2009
Name of person responsible for review	Matthew Baker
Name of person who carried out the assessment	Jackie Roberts

Name of Head of Service	Carmel Millar
Signature of Head of Service	
Date Completed	26 March 2009
Date sent to Web Operations Team	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.