

Equality Impact Assessment (EIA) Toolkit



Tool 1:	Introduction to EIAs
Tool 2:	<p>Steps to conducting EIAs:</p> <p>Step 1: Involve the right people to carry out an EIA</p> <p>Step 2: Initial & Operational EIA</p> <p>Step 3: Internal Action Plan</p> <p>Step 4: Further EIA</p> <p>Step 5: Publishing Outcomes</p> <p>Step 6: Monitoring & Review</p> <p>Good Practice EIA Do's and Don'ts</p>
Tool 3:	<p>Online Appendices Downloaded from: http://www.st-andrews.ac.uk/hr/edi/eia/toolkit/</p> <p>Appendix 1: EIA Toolkit: Guide to when to conduct an EIA Appendix 2: EIA Toolkit: EIA Process Chart Appendix 3: EIA Toolkit: Initial & Operational EIA Form Appendix 4: EIA Toolkit: Internal Action and Monitoring Plan Appendix 5: EIA Toolkit: Further EIA Form Appendix 6: EIA Toolkit: Glossary of Terms Appendix 7: EIA Toolkit: Examples of Impact Table Appendix 8: EIA Toolkit: Equality Legislation Table</p>

Contact:
HR E&D Officer as Head of E&D
Human Resources
University of St Andrews

Email: diversity@st-andrews.ac.uk
Web: <http://www.st-andrews.ac.uk/hr/edi/eia/toolkit/>

Available in Alternative Format upon request

Tool 1: Introduction to EIAs

What are Equality Impact Assessments?

Equality Impact Assessments (EIAs) are methods of 'self-assessment or auditing' providing a detailed indicator in line with laws relating to employment and service provision.

Which laws require the University to conduct EIAs?

The '[Public Sector Equality Duty \(2011\)](#)' requires the University to:

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

These legislative duties result from previous legal duties on Disability; Gender; and Race, in addition to the [Single Equality Act \(2010\)](#) require the University to assess equality of impact – also refer to [Fairness = Funding](#).

The '[Equality Act \(Specific Duties\) \(Scotland\) Regulations 2012](#)' (as stated below) also requires institutions, such as Scottish universities, which receive public funds, to conduct robust impact assessments. This requirement is endorsed by the Scottish Government and by the SFC:

Regulation 5 requires a listed authority to assess, where and to the extent necessary to fulfil the equality duty, the impact of applying a proposed new or revised policy or practice against the needs mentioned in section 149(1) of the Equality Act 2010.

Any consideration as to whether or not it is necessary to assess the impact of a policy or practice for these purposes is not to be treated as an assessment of impact. Paragraphs (2) to (4) do not therefore apply in relation to, for example, an initial screening exercise to establish whether or not an assessment is required.

Where an assessment is made and the authority decides to apply the policy or practice to which it relates, the authority must publish the results of that assessment within a reasonable period.

A listed authority must also make arrangements to review any policy or practice that it applies to ensure that, in exercising its functions, it complies with the equality duty.

What are we required to conduct an EIA on?

EIAs should take into account impacts during the creation, changing and withdrawing of:

- Policies
- Practices
- Procedures
- Services

Tool 2: Steps to conducting EIAs

There are several stages in conducting an EIA resulting in the following 5 steps for simplification – a flow chart is available to illustrate these steps, refer to: [EIA Toolkit: EIA Process Chart](#) (Appendix 2).

Step 1: Involve the right people to carry out an EIA

To carry out an impact assessment, the following people must be involved:

- **Lead Officer** – Must have detailed knowledge and ownership for updating the policy, practice, procedure or service.
- **Critical Equality Guide(s)** – EIA must be critically challenged by a person or group, who has knowledge of equality legislation or experience of the different ‘equality strands’ or ‘protected characteristics’ such as equality organisations/groups. For the purpose of scrutiny within the University, the HR E&D Officer as the Head of E&D is the main source.

Step 2: Initial & Operational EIA

This is the main part of the EIA process as it should provide evidence of robust assessment. The form can either be utilised to record necessary actions planned/implemented for monitoring purposes (Operational EIA), or the form can be utilised for conducting as a preliminary separate assessment.

Carry out the assessment by completing: [EIA Toolkit: Initial & Operational EIA Form](#) (Appendix 5). As you type information onto the form (MS Word document) the tabled boxes will expand accordingly.

1. Introductory Information

This section is required so that people external to the School/Unit are able to understand the aims; workings of; and purpose of the policy, practice, procedure or service.

2. Involvement & Engagement

The University has a legal duty to assess impact of how decision making impacts ‘protected groups’, therefore utilising legal guidance and any additional research or equality group feedback is invaluable. Within the **Initial & Operational EIA Form** as part of this section:

- State names of people/groups/organisations who are involved in the screening.
- Provide details of data/research used as part of the screening, such as the following:

a) *Internal data:*

- Monitoring data specific to ‘protected characteristics’
- Surveys, consultations or complaints, exit questionnaires, feedback
- Evidence that a policy or practice may be causing disadvantage include:
 - Lower participation rates by particular equality groups
 - Eligibility criteria that disadvantage or exclude certain groups
 - Lower success/satisfaction rates
 - Higher withdrawal rates
 - Access to services reduced or denied in comparison with other groups
 - A group faces increased difficulty or indignity as a result of the policy

- Engage with a diverse range of staff, students or service users via the online initiative: [Engagement: Opinions & Feedback](#)

This would help ensure and demonstrate successful consultation due to involving people from 'protected groups' by:

- Gathering views on how the current policy, practice, procedure or service positively/negatively impacts on them?
- Asking questions about what should be included in a new policy, practice, procedure or service in order to ensure no adverse impact.

b) External data – with online weblinks:

- [Equality and Human Rights Commission Equality Act Technical Guidance for FE & HE](#)
- [Equality and Human Rights Commission Equality Act Code of Practice for Employment](#)
- [Equality and Human Rights Commission Equality Act Code of Practice for Services, Public Functions and Associations](#)
- [Equality and Human Rights Commission guidance: Public Sector Equality Duty in Scotland](#)
- [Equality and Human Rights Commission: Higher Education providers' guidance](#)
- [Scottish Government Equality Unit guidance](#)
- [Scottish Funding Council guidance](#)
- [UCU Equality Resources](#)
- [Fife Council Census data](#)
- [Similar EIAs already carried out](#)
- [Equality Challenge Unit EIA guidance](#)
- [Athena SWAN](#)
- [Scottish Inter Faith Council](#)
- [Stonewall Scotland Workplace Guides](#)
- [LGBT Youth Scotland](#)
- [Universities Scotland](#)
- [FRAE Fife – guidance for Fife ethnic minorities](#)
- [Scottish Accessible Information Forum publications](#)
- [Higher Education Statistics Agency \(HESA\)](#)

Important: Please contact the Head of E&D for updated resources specific to:

- Employment policies/procedures
- Student policies/procedures
- Building development/refurbishment
- Curriculum design/delivery

3. Screening Grid for Evidence of Negative/Positive Impact

Throughout the screening section, to ensure promotion of equality, you need to ask the following four key questions about your policy, practice, procedure or service:

- Are there data trends interpreting
- Will it cause differential impact to any equality groups?
- How are equality groups open to adverse impact?
- Does it take into account specific needs any groups may have?
- Can it help the University in meeting its legal duties to promote equality?

The recording of examples of good practice can then be utilised for reporting purposes with not only equality agencies, but also to the increasing number of organisations the University reports to who ask questions on Equality & Diversity Inclusion evidence.

Cross-reference this with the following two tables which provide information on legislation and more importantly, examples of considerations for each 'Equality Strand/Protected Characteristic':

- [EIA Toolkit Examples of Impact Table](#) (Appendix 7)
- [EIA Toolkit Equality Legislation Table](#) (Appendix 8)

4. Post-Screening Information

At this stage we capture information that is not part of the screening grids.

5. Conclusion

Before summarising the EIA, make it clear if the EIA conducted is as an 'Operational' version or as an 'Initial' version only.

- An 'Operational' version = the EIA has stated a list of actions planned or achieved.
- An 'Initial' version = the EIA has not stated any actions – if this is the case then:
 - State if there will be actions planned, if there are, please complete the [EIA Toolkit: Internal Action and Monitoring Plan](#)
 - State if there is a need for a Further EIA – such an action would be required where there is lack of research, consultation or survey available to assess the EIA – if so, then please complete [EIA Toolkit: Further EIA Form](#)

It is the responsibility of the 'Lead Officer' to define the outcome of the EIA with the assistance from the 'Critical Equality Guide(s)' in making a judgement on if internal actions or further assessment is required.

6. Sign Off

The EIA is required to be dated in order to have an audit trail and to be signed by:

- Lead Officer & Position (to provide specific representation within the institution).
- Strategic or representative group (if applicable).
- Head of E&D (in order for monitoring of EIA actions).

Step 3: Internal Action Plan

The Lead Officer carrying out the EIA is able to recommend internal actions to address adverse impacts and/or issues before going through to a Further EIA.

However these actions must have a 'Target date' for completion together with a person assigned with the responsibility to ensure relevant actions have addressed the adverse impacts/issues.

- Complete: [EIA Toolkit: Internal Action and Monitoring Plan](#) (Appendix 4)

Step 4: Further EIA

If the EIA gets to the stage where there is a need to carry out a further assessment:

- Complete: [EIA Toolkit: Further EIA Form](#) (Appendix 5).

Consultation is required in order to get a detailed view on the adverse impacts/issues of the policy, practice, procedure or service. This could be done by the following:

- Consulting with equality agencies or groups; relevant staff/students
- Monitoring reports
- User feedback, complaints, comments or satisfaction reports
- EIAs conducted elsewhere on the same or similar area policy (desktop research)
- Opinions and information from Trade Unions

Step 5: Publishing Outcomes

Under the Public Sector Equality Duty – Scottish Specific Duties, EIAs must be made available to the public, therefore any EIA must be double checked by the Head of E&D. Once the EIA has been completed, the University will publish the outcomes in a summary format onto the website so that they can be viewed publicly, unless members of the public require the actual form.

Step 6: Monitoring & Review

Ensure any actions that are date scheduled outlined in either the 'Internal Action Plan' or the 'Operational EIA Form' are monitored. Reviews of EIAs should occur every 3 years in order to satisfy compliance with the Scottish Specific Duties – Regulation 5.

Good Practice EIA Do's and Don'ts:

Do	Don't
<i>Do</i> use the term 'strategic or operational improvement' – this would relate to the University policy improvement.	<i>Don't</i> even think about the impact assessment form and or template until the end of the assessment.
<i>Do</i> treat the exercise as a form of equality challenge.	<i>Don't</i> treat it as a form-filling exercise; think of it as the final 'audit trail' of a strategic or operational improvement exercise.
<i>Do</i> build contacts and professional relationships with colleagues in other Schools/Units, and even equality agencies to assist the process.	<i>Don't</i> conduct them in isolation if another School/Unit should be involved.
<i>Do</i> try and involve people across the equality strands.	<i>Don't</i> try to totally conduct the EIA on your own.
<i>Do</i> make sure that you have enough information to asses all equality strands.	<i>Don't</i> conduct it until sufficient research is understood.
<i>Do</i> build it into specific tasks and topics for individuals to share information, progress and so on, with a timetable and targets.	<i>Don't</i> be daunted by the consultation element. Find out if research or data already exists, or consult directly with representatives of relevant groups or specialist organisations such as the Scottish Government Equality Unit; Equality Challenge Unit for Higher Education; Equality & Human Rights Commission; or Universities Scotland.
<i>Do</i> focus on finding real improvements in your policies; practices; procedures; or services rather than trying to get the form completed and off your desk!	<i>Don't</i> use the process as a 'last minute check'. Develop plans that include time to make changes to a project, strategy or policy as identified by the EIA.
<i>Do</i> know your staff (resources) and students (customers/partners) needs; the barriers they face; and focus on improving their experience in the research; study; and work place.	<i>Don't</i> just focus on the previous legal duties on disability; gender; and race. Apply the same process across all 'protected characteristics'.
<i>Do</i> use a methodical approach to conduct them, resulting in an audit trail for the process.	<i>Don't</i> rush through the process as this could lead to repeating the process again for compliance.