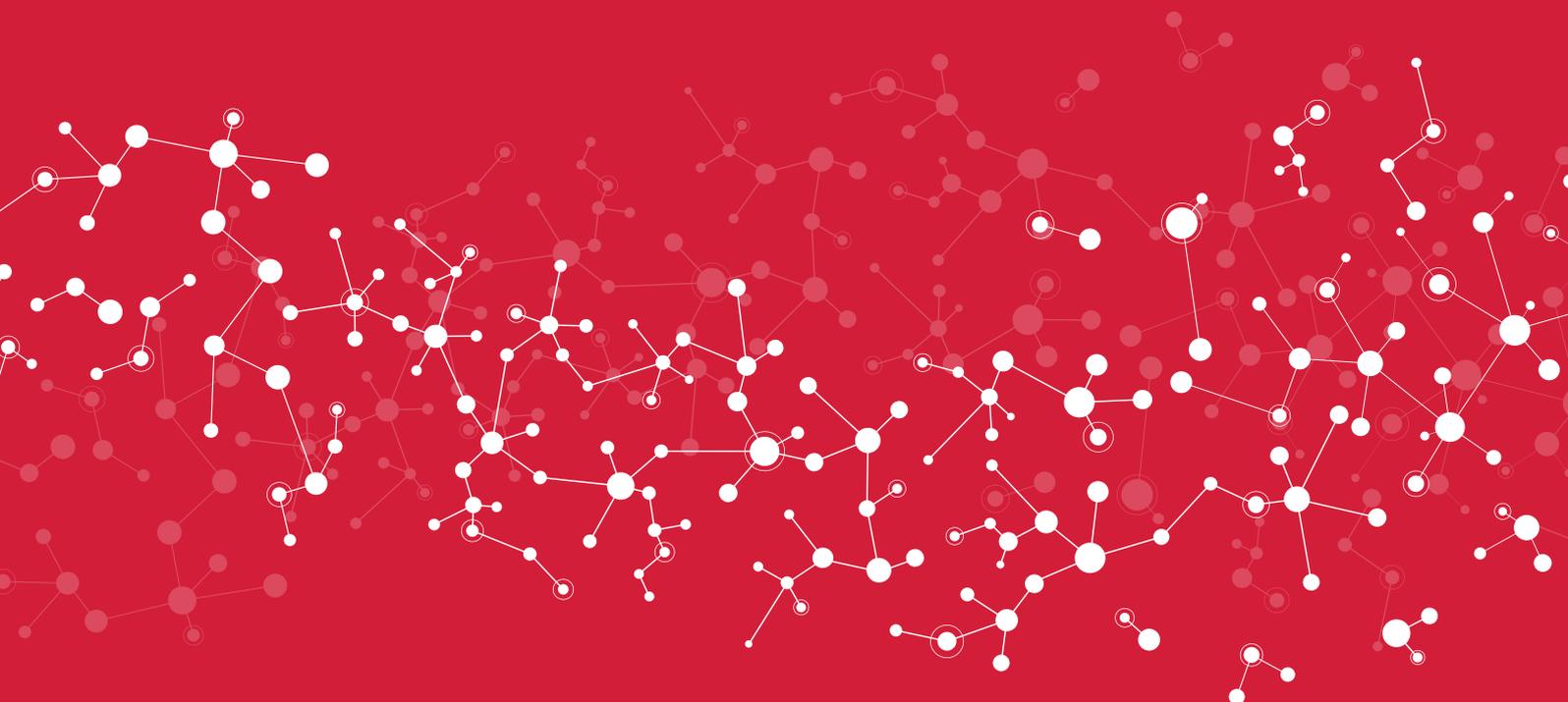


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# Equality Impact Assessment Tool – guidance / the information we are looking for.....

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# Introduction

An EIA should be viewed as an integral part of good management practice; it is not an add on. Done well, the EIA will help to ensure that we are efficient, effective, cost-effective and that we meet the needs of all our people.

For ease this guidance uses the term 'proposal' to refer to what is being assessed. In this context, the term includes the different things we do, including strategies; projects and plans; initiatives; functions; new policies and amendments to existing policies; new procedures and amendments to existing procedures.

The size and scope of the EIAs should be proportionate to the level of impact the proposal is likely to have on people.

The EIA is a continuous process not a one-off event. You will need to review each of the sections over a period of time, as you research and clarify your findings. The EIA will progressively become more informed as you undertake consultation and collate information on your proposal; therefore, the EIA develops alongside the proposal.

It is for this reason that the EIA should begin at the moment of the conception of the idea, suggestion or identification of need for change.

The EIA is a record of the consideration of any impact that has been given to anyone (Students, employees of the University and where appropriate, members of the public). It is the evidence that 'Due Regard' has been shown.

TIP: Be concise. A summary of the EIA is required in all decision-making reports. Information in the EIA should be as concise and informative as possible – this will ensure your summary contains all the key points. You can provide links to evidence, research, data analysis etc.

**There is specific guidance son 'Due Regard' on IRIS; Equality, Diversity and Inclusion section.**

Note: monitoring the implementation of your proposal is also required as part of the overall equality work. Further development of the EIA will be required to monitor whether implementation went as expected or whether further equality related action is needed. This should also be recorded as part of the EIA.

# EIA sections:

	Sections	Status	Note
1	Background information	Mandatory	This information will also be contained in your Business Plan
2	Screening information	Mandatory	Where you are confident that your proposal will result in only positive impacts on people [or no impact at all] you should end your EIA at this section.  Where you have identified one or more potential negative impacts, complete the additional sections 3,4 and 5.
3	Full Equality Impact Assessment	Mandatory where 1 or more potential negative impacts have been identified	The full EIA will help to clarify the extent of any potential negative impact
4	Evidence documents	Mandatory	List all relevant documents used to inform the EIA
5	Linked EIAs	Mandatory	Where your EIA is linked to others e.g. you are assessing one part of a much bigger project that has a number of linked EIAs
6	Follow up	Mandatory	It is a mandatory part of the EIA process, and of good management to consider what happened when you implemented your proposal i.e. did the issues you identified happen? Did something different happen?

# 1. Background information

## Responsible person

This is the person responsible for the service area, policy, proposal etc that is being considered.

The 'responsible person' may be different to the person who creates the EIA, the assessment owner. However, it is the 'responsible person' that is ultimately responsible for the EIA, its contents and ensuring that it meets the legal requirements for showing 'due regard'.

## Assessment owner

It is the person that leads and co-ordinates the EIA. The assessment owner should be someone of sufficient seniority that they have a good understanding of the proposal and how it fits with other University business.

TIP: do not delegate the role of assessment owner to more junior staff; it is part of the management role.

## Date EIA began

This is important to record that equality issues have informed and shaped the development of the proposal.

Who else is involved in undertaking this EIA?

EIAs are better informed and more likely to identify the issues where a number of people are involved - with different, relevant skills and experiences.

Involving people in writing the EIA does not replace the legal duty to undertake consultation and engagement activities where needed.

## Rationale

### What is being considered?

This is an explanation of why you are considering the proposal detailed in the title. You should include a brief explanation of the context – remember someone reading the EIA may know nothing about this service / policy area.

### What need is being addressed?

This section describes the positive benefit you want to achieve as a result of your proposal.

It is recognised that the significant budget pressures in the HE Sector requires Schools and Professional Services departments to reshape. Even in this context we continue to strive to minimise any potential negative impacts, particularly on vulnerable groups. The form of words here should describe the 'need' in broader terms than simply saving money. Please refer to the University Plan and KPIs.

## Aim

### What is the intended outcome / impact of the proposal?

Describing this at the start of your EIA process will help you to understand whether everyone will get the same benefit.

This section should describe the 'aim' in broader terms than simply saving money.

## Method

How will it be delivered? e.g. incrementally, in partnership with, subject to funding being confirmed, as a result of directive from HEFCE, in line with a new law, Act, Bill, legislation of any kind?

Who will deliver it? e.g. The School, Service, Department or team

By when: e.g. 1 April 2018

## Stakeholders

Who are the people likely to be affected by this proposal or policy?

Think about students, staff, the public, partners

Think about the different protected characteristics and Carers and Socio Economic factors

List the groups affected - consider the screening list on the EIA form. You can update this list once you have done your screening / full EIA as necessary.

## Measures

### How will you know you have achieved your aims?

What will success look like?

Will there be positive progress towards the University KPIs?

How will students benefit?

How will staff benefit?

What is the business or organisational benefit?

Remember success is based on practical outcomes and should include results that are broader than simply having saved money. It may be that the aim is not to save money but to use existing resources in a more effective way.

### What are your measures / indicators of success?

These should relate to the people affected by your proposal – within the context of Equality and Inclusion.

Will success be measured by performance management targets of the University, HEFCE, other funding bodies, partnerships?

### Is the proposal related to, or influenced by other policies or decisions (internal or external)?

It is important to understand how proposed changes in another part of the University can affect the aims of your School, Service, team or department. There may also be national changes to e.g. plans, statutory guidance, service requirements etc that you need to consider.

Identify any other policy or decision [internal or external] that may affect your proposal e.g. HEFCE, national policies, staff or student policies.

# 2. Screening tool

You should identify groups of people who could be positively, negatively or not affected by your proposal if implemented. The purpose of this is to help you decide who you need to consult with.

### For each characteristic listed on the left describe the reasons behind your assessment of potential impact

- Provide a bullet point list summarising the key reasons
- Provide electronic links to relevant documents where appropriate.

TIP: keep an electronic folder with all the relevant sources of evidence in case these are needed at a later date.

## Negative Impacts

It can be tempting to say that no group will be negatively affected because the purpose of your proposal is only to 'do good'. However, even with proposals that aim to 'do good' or improve a service, it is very easy to miss the negative impact it could have on other groups of people. These may even be people who have never used the service previously or who the service is not specifically aimed at.

E.g. service changes to support for students with a disability may have an impact on their families, friends and carers. These people do not use the service themselves but may need to provide more support to the person with a disability if our service changes. Therefore, the emphasis of the EIA is on all those who could be affected. Consultation later in the EIA process will confirm whether your initial assessment of impact was correct or needs to be amended.

The identification of any negative impacts of the proposal also helps you to identify mitigation that can be put in place. (More on this later in the guidance). It is important that you have a proper record of any negative impacts that could happen as a result of your proposal. This is evidence that the University supports the principles of 'Due Regard'.

## Positive impacts

It is important that you have a proper record of the positive impacts that should happen as a result of your proposal. This is evidence of your contribution to the University's Strategic Equality Objectives. It also helps you to monitor your proposal once you have implemented it: did the positive impacts happen as you expected? Did any unexpected negative impacts occur?

### No impacts

This option should only be used to describe proposals where you are confident that having examined the proposal there is 'no impact' on people in any way. As a result of this examination, you should explain why there is not an impact.

### Outcome of the Screening Tool

Where there are only positive or no equality impacts arising from your proposal you are not required to complete the full EIA; the screening is sufficient.

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## 3. Full Equality Impact Assessment

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Where any potential negative impacts could result from your proposal you are required to complete a full EIA (sections 3-5).

### ONLY complete columns relating to each of the protected characteristics you have identified as possibly experiencing negative impacts

If through the consultation you identify another group as being affected, add them in, and then undertake the appropriate research and consultation.

### Information sources:

This will include e.g. the Census, national and local data, local and national reports, Benchmarking, previous consultation feedback, staff / student feedback.

### TIP:

- Use headline text in the EIA and list key documents in the last section on the EIA form: Evidence Documents.
- Store your evidence documents in one folder in One Drive for easy access by colleagues.
- Speak to colleagues to find out what other relevant data there may be in your School / Service / department / the University / nationally. This is very helpful in relation to data sources that affect your proposal indirectly.
- Speak to colleagues in Corporate Information regarding statistical and other data that can be useful for your evidence .
- Go back to the sources of information / data you used to begin your identification of the need for your proposal and use this to identify any issues.

### Summary of the key issues:

It is important that you use sufficient words that the reader can easily understand the issues.

Detailed information on the issues can be recorded separately as an Evidence Document.

### TIP:

- You may find that the same or similar issues occur for a number of protected groups – this is ok; however remember that the mitigating actions you may need to put in place may be different.
- Think about cumulative impacts – could the negative impact be made worse if a person identifies with more than one protected characteristic e.g. Disabled and Young / Old?
- Could the negative impact be made worse because of planned changes to other University services? Alternatively, could planned changes to another service assist in reducing the negative impact?

### How will we mitigate these issues?

List the mitigating action you plan to take

It is important to draw up as full a list of possible mitigating action i.e. things that could be done to reduce the negative impact.

Some mitigating actions are not possible due to cost or other factors. Record this in your Evidence Documents. It might be useful to do a short options appraisal on the mitigations and the cost / benefit implications.

### TIP:

- Ask consultees what mitigation would help – staff, students, service users are often best placed to identify mitigating actions as they experience the delivery side of what we do.
- As far as possible try to identify mitigation action(s) for each of the issues you have identified and always show evidence you have considered mitigation even if it is not achievable and state why.

### Who is the responsible officer for delivering the mitigation?

You should put the job role and School, Service or department.

### Who else need to be involved?

List the Schools, Services, departments, teams, partners as appropriate.

TIP: Think about the other influences you identified that could affect your proposal. Should you be working with other colleagues to implement your proposal?

### By when?

When will you implement the proposal and any mitigating actions? E.g. September 2018

TIP: There may be different dates for each mitigating action.

### Business Plan reference

You should state where the actions arising from the EIA appear in your Business Plan, so that they are monitored via the QBR process.

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## 4. Evidence documents:

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List all the sources of evidence you have used including where they are stored. Provide electronic links where appropriate

TIP: completing this section accurately will assist you and colleagues in the future if you have a similar proposal to take forward, or you have to respond to a legal challenge.

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## 5. Linked EIAs

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For major projects there may be a number of smaller workstreams. This will typically require an over- arching strategic EIA which identifies the need for further

'smaller' EIAs for each workstream of the project. These should all be referenced here.

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## 6. Follow up

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It is important to review what happened when you implemented your policy and any mitigating action. This may be at 3, 6 or 12 months, or as appropriate to your proposal.

### Further information and support

For more information about EIAs please contact your School / Service Inclusion Champion in the first instance, or the Head of Equality and Diversity. Contact details are on IRIS under Equality, Diversity and Inclusion.

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