

Equality Impact Assessment (EIA)

Legislation requires that our policy documents consider the potential to affect groups differently and eliminate or minimise this where possible. This process helps address inequalities by identifying steps to ensure equal access, experience, and outcomes for all groups of people.

Step One – Policy Definition

Function/policy name and number:	Disciplinary Policy
Main aims and intended outcomes of the function/policy:	This policy has been designed to ensure a fair, systematic and consistent approach is taken when an employee's behaviour or conduct is in breach of workplace rules or falls short of the expected standards.
How will the function/policy be put into practice?	The policy will provide guidance to managers and staff around how adverse incidents should be managed and achieve a restorative outcome.
Who will be affected/benefit from the policy?	All Trust staff
State the type of document:	Policy
Is an EA required? NB: Most policies/functions will require an EA with a few exceptions, such as routine procedures-see guidance attached	Yes
Accountable Director: (Job Title)	Interim Chief People Officer
Assessment Carried out by:	Deputy HRBP

To help you to determine the impact of a strategy or policy, think about how it relates to the Public Sector Equality Duty, the key questions as listed below and prompts for each protected characteristic are included Step 3:

- Eliminate unlawful discrimination, victimisation, and harassment
- Advancing equality of opportunity
- Fostering good community relations

KEY QUESTIONS

- Are people with protected characteristics likely to be affected differently even though the policy is the same for everyone?
- Could there be issues around access, differences in how a policy is experienced and whether outcomes vary across groups?
- What information /data or experience can you draw on to indicate either positive or negative impact on different groups of people in relation to implementing this function policy?

Step Two – Evidence & Engagement

Research/Publications <i>(List any publications or research you have looked at here)</i>
ACAS Code of Practice on Disciplinary and Grievance Procedures Equality Act 2010/ The Worker Protection Act 2023 The Employment Rights Act 1996 Protection from Harassment Act 1997 Natural justice and Just Culture principles ACAS conducting workplace investigations Guidance NHS England just culture guide
Working Groups <i>(Have you consulted with any groups?)</i>
Staff side representative committee
Clinical or Subject Experts <i>(Have you consulted any experts? List them here)</i>
Equalities Business Partner Head of People
Engagement Activity Focused on Protected Groups <i>(Age, disability, race, sex, gender reassignment, marriage & civil partnership, pregnancy & maternity, religion or belief, sexual orientation, Other marginalised groups e.g. Homeless people or anything privacy or dignity related)</i>
Name of Source: Equalities and Wellbeing Team Date: 16/01/2025- policy sent for comment. Feedback received 05/02/2025. Feedback received 20/03/2025-amendments made Protected Characteristic: All
Name of Source: HR Manager - Medical Workforce Date: 13/02/2025 Protected Characteristic: Medical Staff
Name of Source: Chief of Medicine Date: 13/02/2025 Protected Characteristic: Medical Staff
Name of Source: Head of People – Workforce, Wellbeing and Employee Relations Date: 17/12/2024 Protected Characteristic: All
Name of Source: Divisional leads – all divisions Date: 13/02/2025 Protected Characteristic: All
Name of Source: Staff side Representative Committee Date: 24/04/2025 Protected Characteristic: All
Name of Source: Local Negotiating Committee Date: 03/07/2025 Protected Characteristic: Medical Staff

Summary of the feedback received from the engagement activity focused on protected groups:

- Can we avoid the use of DMG and use full name?
- *“The commissioning Manager along with support from HR and the Equality, Diversity & Inclusion team can determine whether a Cultural Ambassador is required or another panel member who may bring diversity to the panel.”*
We may need to think about this, we do not have enough CAs to cover this and with finances as they are, this might not change anytime soon. I was under the impression the system was looking at developing training. We could put more about making sure the panel is diverse using our managers and state that they must be trained to carry out the role of investigating or disciplining. 20% of our senior managers band 8a and above are BME, 43% are male.
- Investigating officer role and responsibility:
Should we say something about being objective, non-bias and ensuring they consider cultural sensitivity?
- Hearing and panel members:
Should we say something about being objective, non-bias and ensuring they consider diverse panel makeup?
- Criminal offences and fraud:
Should we have something about hate crimes and sign post to more information?
[Hate crime at work - Acas](#)

Step Three – Assessment of Impact

Complete **relevant** boxes below to help you record your assessment.

Consider information and evidence from the previous section covering:

- Engagement activities
- Equalities monitoring data
- Wider research

Also, consider due regard under the general equality duty, the NHS Constitution and Human Rights.

What detail is required below:

A negative impact requires every box to be completed

Positive impacts need the first three boxes completed

Neutral impacts need to be marked neutral with no other details.

Age: Describe age-related impact and evidence. This can include safeguarding, consent and welfare issues:

Positive, negative or neutral impact:	Neutral impact
--	----------------

Disability: Describe disability related impact and evidence. This can include attitudinal, physical, communication and social barriers, as well as mental health/ learning disabilities, cognitive impairments

Positive, negative or neutral impact:	Negative impact
If the impact is positive or negative, is it low, medium, or high risk for this group?	Medium
Concern or Benefit	Use of acronyms such as “DMG”. People with dyslexia may find it difficult to process acronyms, due to their condensed nature and the assumption of prior knowledge of their meaning.
If a negative impact, how will it be mitigated?	<ul style="list-style-type: none">• Full meaning used and acronym put in brackets.
Who will lead on this	DHRBP

When will it be mitigated?	Feb 25
How will you monitor/review or report this?	<ul style="list-style-type: none"> Actioned. When policy reviews are undertaken HR to recheck additions to ensure full titles are used.

Gender re-assignment: Describe any impact and evidence on transgender people. This can include issues such as privacy of data and harassment:	
Positive, negative or neutral impact:	Negative impact
If the impact is positive or negative, is it low, medium, or high risk for this group?	Low
Concern or Benefit	Ensure all language used is gender neutral.
If a negative impact, how will it be mitigated?	<ul style="list-style-type: none"> Remove he/she from policy wording.
Who will lead on this	DHRBP
When will it be mitigated?	Feb 2025
How will you monitor/review or report this?	<ul style="list-style-type: none"> Actioned. When policy reviews are undertaken HR to recheck additions to ensure the policy remains gender neutral.

Marriage and civil partnership: Describe any impact and evidence in relation to marriage and civil partnership. This can include working arrangements, part-time working, and caring responsibilities:	
Positive, negative or neutral impact:	Neutral impact

Pregnancy & Maternity: Describe any impact and evidence on pregnancy and maternity. This can include working arrangements, part-time working, and caring responsibilities:	
Positive, negative or neutral impact:	Neutral impact

Race: Describe race-related impact and evidence. This can include information on different ethnic groups, Roma gypsies, Irish travellers, nationalities, cultures, and language barriers:	
Positive, negative or neutral impact:	Negative impact
If the impact is positive or negative, is it low, medium, or high risk for this group?	High
Concern or Benefit	Diversity of disciplinary panels/appeal panels.
If a negative impact, how will it be mitigated?	<ul style="list-style-type: none"> Section added to policy regarding cultural ambassadors being placed on panels or additional panel member to bring diversity to a panel.
Who will lead on this	DHRBP
When will it be mitigated?	Feb 2025
How will you monitor/review or report this?	<ul style="list-style-type: none"> This will be monitored moving forward as the HR team are aware there is a lack of cultural ambassadors within the Trust. The HR team will continue to monitor the diversity of panels for all investigations and ensure when panel members are appointed this remains a priority.

Religion or Belief: Describe any religion, belief or no belief impact and evidence. This can include dietary needs, consent and end-of-life issues:	
Positive, negative or neutral impact:	Negative impact
If the impact is positive or negative, is it low, medium, or high risk for this group?	Low
Concern or Benefit	Role and responsibilities of Investigating officer and ensuring they remain objective, non-bias and ensuring they consider cultural sensitivity
If a negative impact, how will it be mitigated?	<ul style="list-style-type: none"> Wording added to policy to clearly determine remaining objective, non-bias and culturally sensitive falls within the scope of the Investigating officer.

Who will lead on this	DHRBP
When will it be mitigated?	Feb 2025
How will you monitor/review or report this?	<ul style="list-style-type: none"> Actioned. The HR support to Investigating officers is in place to ensure investigating officers remain objective in disciplinary processes, remain non-bias and ensure cultural sensitivity. HR check all reports before submission to identify and check for any conscious or unconscious bias evident.

Commented [BC1]: You need to add here how HR will monitor this

Sex: Describe any impact and evidence on men and women. This could include access to services and employment:	
Positive, negative or neutral impact:	Neutral impact

Sexual Orientation: Describe any impact and evidence on heterosexual people as well as lesbian, gay and bisexual people. This could include access to services and employment, attitudinal and social barriers:	
Positive, negative or neutral impact:	Neutral impact

Other marginalised groups, e.g. Homeless people: Describe any impact and evidence on groups experiencing disadvantage and barriers to access and outcomes. This can include lower socio-economic status, resident status (migrants, asylum seekers), homeless, looked after children, single parent households, victims of domestic abuse, victims of drugs / alcohol abuse: (This list is not exhaustive)	
Positive, negative or neutral impact:	Neutral impact

Privacy, dignity, respect, fairness etc:	
Positive, negative or neutral impact:	Negative impact
If the impact is positive or negative, is it low, medium, or high risk for this group?	Low
Concern or Benefit	Role and responsibilities of Investigating officer and ensuring they remain objective, non-bias and ensuring they consider cultural sensitivity.

If a negative impact, how will it be mitigated?	<ul style="list-style-type: none"> Wording added to policy to clearly determine remaining objective, non-bias and culturally sensitive falls within the scope of the Investigating officer.
Who will lead on this	DHRBP
When will it be mitigated?	Feb 2025
How will you monitor/review or report this?	<ul style="list-style-type: none"> Actioned. The HR support to Investigating officers is in place to ensure they remain objective, non-bias and ensure cultural sensitivity. HR check all reports before submission to check for/identify any conscious or unconscious bias evident.

Commented [BC2]: You need to add here how HR will monitor this

EQUALITY IMPACT ASSESSMENT (EIA) - GUIDANCE NOTES

An equality impact assessment (EIA) ensures that issues of equality, diversity, and inclusion are considered when developing or revising strategies, policies, or proposals that affect the delivery of services and the employment practices of the Trust.

Why should we carry out an EIA?

We are required to carry out equality impact assessments because:

- There is a legal requirement to do so in relation to the protected characteristics
- They help identify gaps and make improvements to services
- They help avoid continuing or adopting harmful policies or procedures
- They help you to make better decisions
- They will help you to identify how you can make your services more accessible and appropriate
- They enable the Trust to become a better employer

Equality Impact Assessments help us to:

- Determine how the Trust strategy, policies and practices, or new proposals, will impact or affect different community groups, especially those groups or communities who experience inequality, discrimination, social exclusion or disadvantage.
- Measure whether strategies, policies or proposals will have a negative, neutral, or positive effect on different communities.
- Make decisions about current and future services and practice in fuller knowledge and understanding of the possible outcomes for different communities or customer groups.

What do we need to assess?

Trust policies are subject to a 3-year review. Alongside the reviews, new policies will emerge. Most policies, strategies, and business plans will need an EIA.

However, EIAs are not required for changes in routine procedures, administrative processes, or initiatives that will not have a material impact on staff, patients, carers, and the wider community. Examples include checking the temperature of fridges, performing highly technical clinical procedures, and office moves.

DGFT Process for EIAs

The revised EIA process is a single-stage process carried out in three steps.

Step One: Policy Definition

This involves a description of the policy details. This is the fact-finding stage where you gather as much information about the strategy, policy or function you intend to assess. Who will be using the service, policy or function and the outcomes you want to achieve. It is important to make sure that your service, policy or function has clear aims and objectives.

Step Two: Evidence and Engagement

EIAs should be underpinned by sound data and information. This should be sought from various sources:

- The knowledge and experience of the people assisting in the service.
- ONS local demography/ Census data: [Census Maps - Census 2021 data interactive, ONS](#)
- Service monitoring reports / Divisional reports
- Patient satisfaction surveys
- Workforce monitoring reports
- Complaints and comments
- Outcome of consultation exercises
- Feedback from focus groups
- Feedback from organisations representing the interests of key target groups
- National and local statistics and audits [Joint Strategic Needs Assessment - All About Dudley Borough](#)
- Academic, qualitative and quantitative research
- Ward/ Divisional reviews
- Anecdotal data

This stage allows you to identify whether your strategy, policy or function has a positive or negative or potential negative impact on the protected characteristics. In some cases, an initial EIA is all you will need to establish whether you are providing equal outcomes for staff or patients. If you receive no feedback or concerns, you can mark each characteristic in section 3 as a neutral impact.

Step Three: Assessment of Impact

This is the central and most important part of the EIA.

To help you determine the impact of the strategy or policy, consider how it relates to the Public Sector Equality Duty. The key questions and prompts for each protected characteristic are listed below.

- Eliminate unlawful discrimination, victimisation, and harassment
- Advancing equality of opportunity
- Fostering good community relations

The real value of completing an EIA lies in the actions that will take place and the positive changes that will emerge from conducting the assessment. To ensure that the action plan is more than just a list of proposals and good intentions, the following should be included:

- Each action is attributed to a key person who is responsible for its completion
- An achievable timescale that is also at the same time reasonable
- Relevant and appropriate activities and progress milestones
- How the action will be monitored/reviewed

KEY QUESTIONS

- What information /data or experience can you draw on to indicate either a positive or negative impact on different groups of people with implementing this function policy
- Are people with protected characteristics likely to be affected differently even though the policy is the same for everyone?
- Could there be issues around access, differences in how a service or policy is experienced and produce outcomes that vary across different groups
- Does the policy relate to the Trust's equality objectives?

NB mitigation measures must be identified and acted upon where an adverse impact is known or likely.

Step Four: Assurance

This section enables the EIA to be signed off by a head of or director for the area. This will assure the equality team that the EIA has been conducted thoroughly and thoughtfully.

Help & Support:

The equalities team will provide advice and support throughout the EIA process. Once you have completed your EIA, you must submit these documents to the procedural documents team, who will then ask the equalities team to sign off on the final version of the form.

For training, guidance and resources, including completed example forms, please visit the equality, diversity and inclusion hub pages: [Equality Impact Assessments](#) accessible

Copies of the EIA:

The manager who completed the strategy or policy review should keep copies of the form for monitoring/revisiting at the following policy review. Procedural documents will also keep a copy on file. All EIA will then be published on our external web pages to demonstrate due regard for the Public Sector Equality Duty.