

**BRISTOL CITY COUNCIL
HUMAN RESOURCES COMMITTEE
TO BE CONSIDERED - 24 April 2008**

Title: Managing Change Policy

Ward: City Wide

Report of: Director of Central Support Services

Officer presenting report: Robert Britton

Contact telephone number: (0117) 92 22669

1 Purpose of the report

To seek approval of proposed changes to the policy, the key elements of which are summarised below.

2 Recommendations

The committee is asked to approve the revised managing change policy with effect from 1 May 2008.

3. Policy

A number of HR policies are currently being re- formatted to aid clarity, present procedures more simply and reduce bureaucracy.

It was envisaged that this would not involve changes in either policies or the associated procedures. However, for the Managing Change Policy there has been some necessary updating (e.g. TUPE has now been revised as a separate document) and the procedures for managing change have been streamlined.

It is also anticipated that there will be continued extensive restructuring of council services and a clearer and simplified procedure will help facilitate these changes.

4. Consultation

(a) Internal

The Trade Unions have been consulted and the proposals have been discussed by the Workforce Development

Management Group. Further consultation will be carried out if any additional significant amendments are required.

(b) External

N/a

5 Background and assessment

5.1 The managing change policy has been revised in line with the move to a framework format and the the need to ensure that the policies and procedures accord with the council's business transformation proposals.

In addition, processes have been clarified and some necessary updating undertaken in line with legislative changes.

5.2 The following changes are proposed to streamline procedures:

- (i) the two tier ring fence arrangements have been removed, and ring fences will include all employees on permanent contracts or fixed term / temporary employees with more than 12 months continuous service, unless they are excluded (see Scope of Procedure - Page 2)
- (ii) the current ceiling of 15% pay protection to be lifted to facilitate offering alternative employment to employees whose posts are redundant. This means that the employee's contractual earnings will be frozen at the point of change for a period of 3 years or until the earnings of the new post become more than this.
- (iii) the current discretion to withhold a redundancy payment where a redeployee refuses an offer of a suitable alternative post, will be revised. Subject to the individual's appeal rights, redundancy pay will not be paid if the redeploy the refuses to accept a suitable alternative post. An employee would be able to defer acceptance/rejection of an alternative post until their appeal is heard re the suitability of the alternative post.
- (iv) "exceptional circumstances" will be taken into account in relation to (iii) above.

In addition:-

- (v) the New Opportunities Policy will be updated to mirror these changes where there is an impact upon redeployment and/or other temporary opportunities.

6 Other options considered

The revised managing change policy was discussed at the workforce development management group meeting who were happy with the proposals. Feedback is still gathered from the Trade Unions. Any other suggestions or options arising will be considered. It is possible that the business transformation programme will lead to further changes in the policy and procedure.

7 Risk Assessment

To leave the policy unchanged would potentially hamper swift and efficient management of change across the authority.

8 Equalities Impact Assessment

Attached.

9 Legal and Resource Implications

Legal:

The revised Managing Change Policy sets out the procedure for fair dismissals on the grounds of redundancy.

(Advice from Kate Fryer, Solicitor)

Financial:

The Head of HR confirms that following agreement at the MWDG, pay protection costs will in future be borne by the department from whom the employee was displaced, and not by the corporate redeployment pool budget

(a) Revenue

The unspecified increase in the pay protection ceiling from 15% will result in some increased costs for employing departments. It is anticipated that these will be more than offset through lower redundancy costs as more alternative employment will then be available.

Any other costs are anticipated to be minor, also offset through reduced redundancy, and will continue to fall upon the employing department unless agreed in advance to be corporately funded as a central initiative.

(Advice from Tim Wallis, Management Accountant)

(b) Capital

N/A

Land: N/A

Personnel:

As set out in paragraph 5 above.

Appendices:

Appendix A Managing Change Policy

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers: None



Managing Change Procedure

Author: **Employee Relations**

Version: **1**

Date created:

HISTORY OF CHANGES

DATE	PAGE	DETAILS OF CHANGE

Date of procedure: 2008

Table of Contents

Purpose.....	3
Scope.....	3
Responsibilities of chief officers/senior managers.....	3
Consultation.....	3
Dealing with and implementing minor change.....	3
Dealing with and implementing major change.....	4
Drafting a new organisational structure.....	6
Drafting new/revised job paperwork.....	6
Classification of posts in the structure.....	6
Approving the organisational structure, ring fences and methods of appointment.....	8
Finalising change.....	9
Appeals.....	9
Disputes.....	10
Dismissal	11
Alternative employment and contractual pay protection.....	11
Measuring the effects of major change on workforce diversity.....	12
Early retirement on the grounds of the efficiency of the service.....	13

This procedure does not form part of an employee's contract of employment and does not create any contractual rights.

1. **Purpose**

To improve council services by managing organisational change effectively in consultation with affected employees and recognised trade union representatives.

2. **Scope**

This procedure applies to all Bristol City Council employees except:

- Those in locally managed schools (for whom there are separate arrangements)
- Those on fixed-term/temporary contracts which will not be terminated on the grounds of redundancy at the end of the contract (eg, cover for maternity leave/sickness/specific projects, where there is no reasonable expectation of the contract being renewed and no entitlement to be considered for redeployment)
- Those covered by TUPE, for which there is a separate document, available on the intranet.

3. **Responsibilities of chief officers/senior managers**

3.1 Chief officers and senior managers have an on-going responsibility to ensure that their organisational structures are effective, and/or that reductions in the discontinuation of services and jobs comply with the council's organisational and financial requirements and objectives.

3.2 Managers will tell employees and recognised trade union representatives about changes that may affect them, ideally at team meetings and DJCCs.

4. **Consultation**

4.1 Managers need to identify the relevant employees/group of employees (the workgroup / establishment) affected by the change at an early stage.

4.2 Managers are responsible for ensuring that consultation with affected employees and recognised trade union representatives takes place throughout the process to ensure that the council meets its legal requirements.

4.3 The obligation to inform and consult the trade unions on proposed dismissals on the grounds of redundancy also arises where it is proposed to dismiss and re-engage employees on new terms and conditions.

5. **Dealing with and implementing minor change**

5.1 Minor changes to terms and conditions (eg duties, job description or hours of work) should be consulted on directly between the manager and the affected employees and recognised trade union representatives. Employees will be notified in writing of the outcome.

5.2 For minor changes the following may be implemented:

- * acting ups
- * temporary opportunities
- * award of additional increments.

5.3 Where these are implemented they must be for a temporary period only. See Pay Policy LINK

6. Where minor changes are not agreed

Where an employee/workgroup does not agree to a change, the manager should liaise with HR with a view to implementing the changes, if necessary by dismissing and re-engaging the employees on new terms and conditions.

7. Changes not involving redundancy

Some changes do not carry an entitlement to redundancy/redeployment (see "Scope 2" above). The employees concerned may be dismissed on the grounds of "some other substantial reason" (SOSR) and managers must ensure that they follow the 3 stage procedure for dismissal. Please see termination of employment on the grounds of "some other substantial reason" LINK.

8. **Dealing with and implementing major change**

8.1 In the case of major change, managers are encouraged to draw up a service review plan for consultation with the affected employees and recognised trade union representatives as early as possible, either at the DJCC or a specially convened meeting.

8.2 Information and Consultation of Employees (ICE) regulations state employees' views should be taken into account before making a decision.

9. Service Review Plan (SRP)

9.1 If a SRP is used it should include:

- (a) The business case for the change
- (b) The postholders/workgroups who will be affected by the change
- (c) Any posts/employees who will be excluded from the scope of the review
- (d) A timetable for the change to be consulted on and implemented.

9.2 An equalities impact assessment on the potential consequences of the change for the affected postholders/workgroup(s) should be undertaken and published before the proposals are implemented.

10. Employees not currently working in substantive posts

Affected employees who are on maternity leave/secondment/extended leave/acting

up) will be consulted.

NB: A substantive post is a job that an employee has a right to go back to.

11. Collective redundancy and consultation

- 11.1 A collective redundancy situation arises where the council proposes to dismiss 20 or more employees on the grounds of redundancy. This includes dismissal and re-engagement on new terms and conditions.
- 11.2 Please note that consultation is required even if employees are likely to be found alternative employment.
- 11.3 Consultation must take place at least 30 days before the first dismissal takes effect (ie employment ends) where it is proposed to dismiss 20 to 99 employees.
- 11.4 Consultation must take place at least 90 days before the first dismissal takes effect (ie employment ends) where it is proposed to dismiss 100 or more employees.
- 11.5 In practice, the timescales are likely to be longer than these.
- 11.6 The HR Adviser is responsible for informing the Secretary of State in both these situations.
- 11.7 Where it is proposed to make redundant less than 20 employees it is good practice to consult, adopt a fair basis for selection and take reasonable steps to redeploy. Failure to do so increases the risk of successful unfair dismissal claims.

12. Issuing information on collective redundancy

In addition to the obligation to consult the trade unions, where a collective redundancy situation is possible the council is also required to inform representatives in writing of the following before consultation begins:

- The reasons for the proposals
- The number and post titles of employees the employer proposes to dismiss on the grounds of redundancy
- The total number of employees of that post titles employed at the establishment in question
- The proposed method of selecting the employees who may be dismissed
- Any proposals for redeploying displaced employees
- The proposed method of carrying out the dismissals, including the period over which the dismissals are to take effect and
- The proposed method of calculating the amount of any redundancy payments to be made (other than statutory redundancy pay) to employees who may be dismissed (please refer to BCC Pay Policy for severance details).

13. Reducing potential for dismissals

Managers should seek to reduce the potential for dismissals by implementing controls/ restrictions on recruitment to provide alternative job opportunities by:

- * redeploying staff within the department concerned, either permanently or into temporary posts as an interim measure
- * using corporate redeployment through the council's New Opportunities Procedure
- * phasing implementation where appropriate.

14. Drafting a new organisational structure

This should take into account the council's organisational principles to ensure that breadth of responsibility is manageable and that the number of tiers of management is minimised. The council does not support deputy posts or manager posts that manage only one employee.

15. Drafting new/revised job paperwork

The manager is responsible for revising or drafting job paperwork for each post in the proposed structure and consulting on it with affected employees and recognised trade union representatives. Finalised job paperwork should be submitted to the HR Adviser, who will, where necessary, either refer the documentation to the JE team for (re) evaluation or determine any changes in pay which may be applicable for non- JE posts. For further information see Single Status and HAY JE schemes LINK

16. Classification of posts in the structure

Each post in the existing structure should be classified as either:

- **Unchanged** - where the job content is little changed from the existing and the employee is not displaced
- **Changed** - where the job content is significantly different from the existing and where selection criteria/methods of appointment will apply
- **Deleted** – where there is a reduced need for work of a particular kind, a service or function has been discontinued or a workplace is being closed, and the employee is displaced/considered for redeployment.
- **New** posts are those where there is no equivalent post in the existing structure. These will normally form part of the ring fence/methods of appointment proposals, other than at Chief Executive/Chief Office level, where the HR Committee may agree different arrangements.

17. How to decide whether a post is changed or unchanged

It is for the manager to decide whether a post is unchanged or changed. Factors that may be taken into account include:

- The grade of the job
- The similarity/difference between the current and new job descriptions and whether the differences relate to key elements or minor ones
- The “actual” role that the postholder has been undertaking and for how long.

18. New/changed posts

A postholder will be included in a ring fence for each new or changed post that includes work currently undertaken by that postholder. However, it is unlikely that a post holder will be included in a ring fence which is more than one grade higher than their existing grade.

19. Drawing up ring fences

- 19.1 Only postholders at risk of redundancy may be included in ring fences.
- 19.2 Employees may only be included in ring fences that relate to changes affecting their substantive post.
- 19.3 Employees who are seconded to or acting into posts within the workgroup affected by the proposed change will not be included in ring fence arrangements if they have the right to return to a substantive post elsewhere in BCC.
- 19.4 Any decision to exclude or include a postholder from a ring fence must be justifiable in objective terms and with all evidence available to support the decision.
- 19.5 Where the number of posts is less than the number of postholders who could be considered for them, there will be ring fences which will include all employees on permanent contracts, or temporary employees with more than 12 months continuous service.

20. How is continuous service identified?

This is continuous service in local government, including other bodies covered by the Redundancy Payments (Continuity of Employment in Local Government etc.) Modification Order 1999 (as amended). Click here to access the [modification order](#)

21. How are people in a ring fence selected for posts?

- 21.1 Postholders in a ring fence will normally be expected to undergo a selection process on a competitive basis to determine how far they meet the essential criteria in the employee specification. The selection process will normally apply even if there is only one postholder in the ring fence. References may be sought. Exceptionally, and only where a large proportion of the workgroup are involved, this may be varied, provided that the proposed arrangement:
- Is clearly defined and transparent
 - Is based on objective criteria

- Does not disadvantage any particular groups in the workforce
- Is supported by the relevant chief officer, and
- Is approved by the Head of Paid Service.

21.2 In line with its duties under the Disability Discrimination Act 1995 (DDA) to make reasonable adjustments, the council may offer a disabled employee a higher graded job as alternative employment where this would be a reasonable adjustment that the council is required to make under the DDA.

22. Other selection criteria

Ring fence selection criteria may not be suitable in all instances where redundancies are proposed. Other methods which can be used instead of or to supplement the above include:

(i) Apply reasonable and objective selection criteria, such as:

- Qualifications, skills and/or knowledge
- Live sickness absence warning on file (subject to the duty to make reasonable adjustments under the Disability Discrimination Act 1995)
- Performance, in particular PMDS ratings of 1 or 2 or live performance improvement plan on file
- Live disciplinary warning on file

(ii) Seek volunteers for redeployment.

23. Unchanged posts - If there are enough/more posts than employees

Where the number of unchanged posts is equal to or greater than the number of postholders who could be considered for them, postholders will be directly appointed. This will include employees on fixed term or temporary contracts if they have 12 months continuous service and would be at risk of redundancy at the expiry of their contract or notice period.

24. **Approving the organisational structure, ring fences and methods of appointment**

24.1 At first and second tiers

24.1.1. The Cabinet determines the council's organisational structure at the first and second tiers.

24.1.2 The HR Committee determines the ring fences, methods of appointment and pay and grading at these levels.

24.1.3 The Selection Committee makes appointments to these posts, except in the case of appointments to the posts of Head of Paid Service, Monitoring Officer and

Chief Financial Officer, where the Selection Committee makes recommendations for approval by Full Council.

24.1.4 The Cabinet must be notified and given an opportunity to make representations once the Selection Committee has made/recommended an appointment.

24.2 At third tier and below

24.2.1 Chief officers have delegated authority to approve the organisational structure and ring fences/methods of appointment within their respective departments at and below the third tier, except those that are disputed by the trade unions where the approval of the Head of Paid Service or his/her nominee is required.

24.2.2 Chief officers must seek HR and financial advice prior to approving proposals.

24.2.3 Chief officers have the discretion to seek the views of the Executive before finalising proposals for change.

25. Where there are changes to terms and conditions

Any change to terms and conditions of employment affecting a workgroup requires the approval of the Head of Paid Service, who may refer the matter to the HR Committee for consideration.

26. **Finalising change**

26.1 Informing employees

Once consultation has been completed and the organisational structure, ring fences and methods of appointment have been formally approved, the manager will issue each affected postholder with written confirmation of:

- (a) the classification of their post within the review (ie, whether it is unchanged, changed or deleted)
- (b) If in an unchanged post, include any revised job paperwork
- (c) If in a changed or deleted post, the reason why their post is being changed (eg re-allocation of duties) or deleted (ie, because there is a reduced need for work of a particular kind, a service or function has been discontinued or a workplace is being closed)
- (d) If applicable, which ring fences they have been placed in and the methods of appointment/selection criteria that will be used to select postholders for these posts
- (e) If applicable, details of any suitable alternative post(s) that the manager wishes to offer the postholder.

27. **Appeal rights**

27.1 Employees have a right of appeal within 10 working days of receiving written confirmation of the above on one or more of the following grounds:

- The classification of their post
- Their inclusion in/exclusion from a ring fence
- The inclusion of another postholder in a ring fence
- The suitability of any alternative post(s) that the manager has offered to the postholder.

27.2 Appeals are heard by a designated service manager, advised by HR, who have not been involved in determining the selection criteria/methods of appointment.

27.3 Appeals at first/second tier should be to the Employee Appeals Committee.

27.4 Appeal outcomes will be confirmed to the employees concerned within five working days.

27.5 Where an appeal outcome could affect an employee's redeployment opportunities, the appointment process should be suspended until all appeals/disputes have been heard and outcomes have been confirmed in writing to appellants.

28. **Disputes**

Employees are encouraged not to use the Employee Grievance or Disputes Procedures for issues where appeal provisions already exist.

29. **Providing training for potentially suitable jobs**

In applying selection criteria or considering employees for posts it may be reasonable to consider whether any lack of skills or experience could be overcome by a reasonable period of training. The manager must not place unreasonable expectations on a candidate in terms of how far they should meet the employee specification for a post.

30. **Statutory trial period**

30.1 Employees are entitled to a four-week statutory trial period where starting a different post (new or changed job) within four weeks of the end of the previous job. This enables both the employee and the manager to determine whether or not the employee is suitable for the post.

30.2 The manager and the employee can agree an extension to the four-week statutory trial period before its start for the purposes of training.

30.3 The manager should set clear objectives that are appropriate to the job and the postholder with the aim of enabling the postholder to meet all of the essential criteria for the post by the end of the statutory trial period. The manager will regularly review the postholder's progress during this period to assess whether the

post is suitable.

30.4 If successful, the postholder will be confirmed in post. If unsuccessful, the postholder should be considered for any other posts that they were ring-fenced for or, if none are available, see “unsuccessful applicants” below.

31 If an employee refuses suitable alternative employment

If an employee unreasonably refuses an offer of suitable alternative employment or resigns from a suitable alternative post then the council may not award a redundancy payment. The council's [New Opportunities Procedure](#) provides guidance on how to determine the suitability of an alternative post. Managers should contact their HR Adviser for advice.

32. Unsuccessful applicants

Where a postholder is unsuccessful in their application for a ring-fenced post the manager will, if requested by the employee, give written reasons for the decision. The decision not to appoint must be justifiable in objective terms. Employees who are placed in a redundancy situation will be:

- (i) considered for redeployment / retraining through NOP
- (ii) given paid time off to seek alternative work
- (iii) given priority consideration for other suitable jobs. Where employees are displaced, chief officers are must find alternative work for them for up to three months (unless otherwise agreed with the Head of HR). Thereafter displaced employees will be considered for corporate redeployment. See NOP LINK

33. Dismissal

33.1 Termination of fixed term and temporary employees

For full information please click on [Fixed Term Contract Guidance](#)

33.2 At first and second tier

Where postholders at the first and second tiers are at risk of dismissal, contractual notice cannot be issued until the Cabinet has been notified and given an opportunity to make representations.

33.3 Displaced employees

33.3.1 Contractual notice should not be issued until the employee's suitability for redeployment has been considered (see NOP). If a notice of dismissal is issued reasons for the dismissal must be given in writing.

33.3.2 Inform them of their right to appeal against the dismissal within 10 working days of receipt of this notice, setting out the grounds of appeal. Appeal outcomes should be confirmed to the employee concerned within 5 working days of the decision.

33.3.3 If the postholder has two or more years' continuous service in local government they are entitled to a redundancy payment if not formally offered suitable

alternative employment within the council or another relevant employer, and the new job starts prior to or within four weeks of termination. Please ensure that you seek advice from your HR section on this point.

- 33.3.4 If the postholder is aged 50 or more and is a member of the Local Government Pension Scheme/Teachers' Pension Scheme, confirm whether or not they are also entitled to early release of pension benefits on grounds of redundancy in the event that they are not formally offered alternative employment within the council before contract termination. (NB this will move to age 55 for new members of the LGPS from 1 April 2008, but existing members will be protected until 2010.)
- 33.3.5 The HR Adviser will co-ordinate the administration of the retirement process directly with the employee concerned.
- 33.3.6 Exceptionally, an employee's notice period may be extended (if all parties agree) where redeployment is considered to be likely and the cost to the council of extending the notice period is less than the cost of the redundancy.
- 33.3.7 In the case of employees who have less than one year's continuous service with the Council, the appeal should be submitted to the HR Manager for their Department and will be heard by a more senior manager (normally from the same department, but exceptionally from another department) and an HR practitioner (neither of whom may have been involved in the process before this point). In the case of those who have one or more year's continuous service with the council, the appeal should be submitted to the Democratic Support Team and will be heard by the Employee Appeals Committee. Appeal outcomes will be confirmed to the employee concerned within five working days of the decision.

34. **Alternative employment and contractual pay protection**

Where a postholder's contractual pay reduces as a result of organisational change (including re-evaluation of their existing post) and they have not received a redundancy payment:

- The postholder will be paid at the top spinal column point of the grade for the post
- Contractual pay will be protected
- The employee's contractual pay will be frozen at this protected amount for either three years or until their contractual pay in the new post would meet/exceed their current contractual pay, whichever the sooner
- Pay awards and increments will not be payable during the period of protection
- The employee will be paid the rate for the job once the three-year period of protection ends.

35. **Who bears the cost of contractual pay protection?**

The cost of contractual pay protection will be met by the department.

36. Increasing working hours during period of pay protection

Where an employee increases their working hours in the post during the period of protection, the additional hours (including any overtime) will be paid at the unprotected rate for the job (overtime will be enhanced in accordance with the employee's conditions of service and the council's Working Arrangements Policy).

37. Reducing working hours during the period of pay protection

Where an employee reduces their working hours in the post during the period of protection, their contractual pay (including the element of protection) will be reduced accordingly (on a pro rata basis).

38. Pay protection for teachers

Teachers will receive pay protection in accordance with the "safeguarding" provisions set out in the School Teachers' Pay and Conditions Document.

39. Protection of pension benefits

Employees who are members of the Local Government Pension Scheme and whose contractual pay reduces as a result of organisational change will be issued with a statement of the pension protection arrangements of the scheme by the HR advisor. Different arrangements apply for members of the Teachers' Pension Scheme, who should seek advice from HR.

40. Employees in receipt of redundancy pay

In the event that an employee accepts redundancy from BCC they will not take up an alternative post within BCC within 4 weeks and 1 day, unless by agreement the displaced employee chooses to refund the redundancy to maintain employment continuity.

41. **Measuring the effects of major change on workforce diversity**

Once major change has been implemented, the manager leading the review (with the advice and support of the HR Adviser) is responsible for reviewing the Equalities Impact Assessment and reporting any disproportionate impact on particular groups in the affected workgroup(s). This information should be reported to HR Business Services (HR Division) and shared with the relevant departmental management team and DJCC.

42. **Early retirement on the grounds of the efficiency of the service**

42.1 Early retirement on the grounds of the efficiency of the service may be considered in relation to employees:

- Who are aged over 50 (unless they joined the LGPS after 31 March 2008, in which case they would not be able to take their pension on these grounds unless they were 55+) and
- Who are unable to adapt to changes in the work environment and

- Where performance is adversely affected to the detriment of the council and the employee concerned and
- Who have not previously been the subject of formal performance improvement measures and
- Where the relevant chief officer supports it.

42.2 Requests for early retirement on the grounds of the efficiency of the service are determined on a case-by-case basis by the Head of Paid Service (for employees at or below 3rd tier) or the HR Committee (for employees at first or second tier). If approved, the manager will follow the procedure for retirement outlined above. HR Adviser will co-ordinate the administration of the retirement process directly with the employee concerned.

Equality Impact Assessment (EqIA)
Stage 1: Initial Screening Form for New/Revised HR Policies or Functions

A: Summary Details

Directorate: Central Support Services

Section: Employee Relations

Person responsible for the assessment: Annie Harris

Contact details: 0117 922 2856

Name of Policy to be assessed: Managing Change Policy

Is this a new or revised policy: Revised

Date policy scheduled for Overview and Scrutiny/Cabinet/LAB:

B: Preparation

It is important to consider all available information that could help determine whether the policy could have any potential adverse impact. Please attach examples of available monitoring information, research and consultation reports.

1. Do you have monitoring data available on the number of people (from different target groups) who are using or are potentially impacted upon by your policy? *Please specify what monitoring information you have available (your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service).*

The policy potentially affects the majority of employees within the authority, and information is available on under-represented groups.

2. If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data for this area? If not, specify the arrangement you intend to make; if not please give a reason for your decision.

3. Please list any consultations that you may have had and/or local/national consultations, research or practical guidance that will assist you in completing this EqlA

C: Your Policy or Function

1. What is the main purpose of the policy or function?

To provide a consistent procedure for managing change which is in line with legislation. The revised procedure will be clearer, simpler and easier to implement.

- 2 Are there any other objectives of the policy or function, if so what are they?

To give a framework for planning, consulting on and implementing both minor and major change.

- 3 Do any written procedures exist to enable delivery of this policy or function?

The document contains procedures pertaining to a range of situations and signposts to other sources of advice and guidance.

- 4 Are there elements of common practice in the service area or function that are not clearly defined within the written procedures?

No

- 5 Who are the main stakeholders of the policy?

Managers and employees.

- 6 Is the policy associated with any other Council policy (s)?

NOPs; TUPE; Recruitment and Selection

- 7 Are there any areas of the service that are governed by discretionary powers? If so, is there clear guidance as to how to exercise these?

Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, what responsibility, and which bodies?

D: The Impact

Assess the potential impact that the policy could have on each of the target groups. The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will need to also assess whether that negative potential impact is high, medium or low – see glossary in the attached guidance notes for definitions.

The policy affects any post involved in a review or restructuring, and therefore potentially affects all employees. The effects of a review or restructuring on under represented groups therefore cannot be assessed, but if selection is undertaken fairly there should not be a biased negative impact on any of the target groups.

1.

a) Identify the potential impact of the policy on men and women:

Gender	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Women			neutral	
Men			neutral	

b) Identify the potential impact of the policy on different race groups:

Race	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Asian (including Bangladeshi, Pakistani, Indian, Chinese, Vietnamese, Other Asian Background – please specify _____)			Neutral	
Black (including Caribbean, Somali, Other African, Other black background – please specify _____)			neutral	

White (including English, Scottish, Welsh, Irish, Other white background – please specify _____)			neutral	
Mixed Dual heritage (White and Black Caribbean, White and Black African, White and Asian, Other mixed background - please specify _____)			neutral	
Other (please specify)			neutral	

c) Identify the potential impact of the policy on disabled people:

Disability	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
			neutral	

d) Identify the potential impact of the policy on different age groups:

Age Group (specify, for example younger, older etc)	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
			neutral	

e) Identify the potential impact of the policy on lesbian, gay men, bisexual or heterosexual people:

Sexual Orientation	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Lesbian			neutral	
Gay Men			neutral	
Bisexual			neutral	
Heterosexual			neutral	

f) Identify the potential impact the policy on different religious/faith groups?

Religious/Faith groups (specify)	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Buddhist			neutral	
Christian			neutral	
Hindu			neutral	
Jewish			neutral	
Muslim			neutral	
Sikh			neutral	
Other (please specify)			neutral	

g) As a result of completing Question 1 a-f above what is the potential impact of your policy?

High Medium Low

If you have assessed the potential impact as HIGH you must complete a full Equalities Impact Assessment

Full equalities impact assessment required as this policy potentially impact on all employees.

2. Could you minimise or remove any negative potential impact that is of medium or low significance? Explain How.

Race:

Gender:

Disability:

Age:

Sexual Orientation:

Religious/Faith groups:

3. If there is no evidence that the policy promotes equal opportunity– could it be adapted so it does? How?

Please ensure that all actions identified are included in the attached action plan and in your service plan.

Please sign and date this form, keep one copy and send one to Equalities Team.

Signed
Lead Officer
Date

Signed
Departmental Equalities Contact
Date

Full Equality Impact Assessment

This toolkit has been developed to use as a guide when conducting a Full Equalities Impact Assessment (EqIA) on a policy, service or function. It includes questions that need to be answered by the person/team conducting the EqIA, plus questions that could be asked of key stakeholders during consultation phases. It is intended that this is used as a working document throughout the EqIA process: the final written report of the EqIA should follow the same format and cover each of the sections within it.

It is important to consider all available information that could help determine both whether the policy could have any potential adverse impact and whether it meets the particular needs of different equalities groups. Please attach examples of any monitoring information, research and consultation reports that you have used to assess the potential impact upon the six equalities strands.

NB - Only fill in the sections that are relevant

Title of service, function or policy being assessed	Managing Change Policy
Name of directorate and service	CSS HR
Name and role of officers completing the assessment	Jane Burstow (HRA Corporate Development) Annie Harris (HRA Employee Relations)
Contact telephone number	0117 903 6249 0117 922 2856
Date assessment completed	

1.	Identify the aims of the policy/service/function and how it is implemented.		
	Key questions	Answers / Notes	Actions required
1.1	Is this a new a new policy / function or service or a review of an existing one?	Review	Research on potential impact;consultation
1.2	What is the aim, objective or purpose of the policy/service/function?	Provide fair and consistent procedures for managing change	
1.3	Whose needs is it designed to meet? who are the main stakeholders?	Managers/ employees/ organisational needs	
1.4	Who defines or defined the policy/function? How much room for manoeuvre is there?	HR in consultation with trade unions, employees and elected members	there is room for manoeuvre through consultation
1.5	Who implements the policy function? Is it possible for bias/prejudice to creep into the process?	Managers. yes	Monitor implementation and outcomes
1.6	Are there any areas of the policy or function that are governed by discretionary powers or judgement? If so is there clear guidance on how to exercise these?	Yes eg selection criteria. Clear guidance in the recruitment and selection policy and legislation	Monitor use of selection criteria and implementation of policy
1.7	What factors or forces are at play that could contribute or detract from the outcomes identified earlier in 1.2?	Discriminatory practice. Poor management. Not following the procedure.	Ensure managers are trained in policy and legislation
1.8	How do these outcomes meet or hinder other policies, values or objectives of the public authority (this question will not always apply)	They meet our equalities duties	monitoring
1.9	How does the local authority interface with other bodies in relation to the implementation of this policy function? (this question will not always apply)	Secretary of State regarding proposed redundancies	
1.10	Consider if any of the six equalities strands have particular needs relevant to the policy.	See initial screening - all groups listed "neutral"	Monitoring those classed as "neutral" impact following reviews

1.11	Taking the six strands of equalities, is there anything in the policy that could discriminate or disadvantage any groups of people?	Not in the policy, but managers may deviate in implementation	Ensure policy and legislation requirements are clearly communicated managers
------	---	---	--

2. Consideration of available data, research and information

	Key questions	Answers / Notes	Actions required
2.1	What do you already know about who uses and delivers this service or policy?	Managers and employees	
2.2	What quantitative data do you already have? (e.g census data, employee data, customer profile data etc)	Workforce data Census information	Use latest available information
2.3	What qualitative data do you already have? (e.g results of customer satisfaction surveys, results of previous consultations, staff survey findings etc).		
2.4	What additional information is needed to ensure that all equality groups' needs are taken into account? Do you need to collect more data, carry out consultation at this stage?	More information will be available following individual reviews	
2.5	How are you going to go about getting the extra information that is required?		

3. Formal consultation (include within this section any consultation you are planning along with the results of any consultation you undertake)

	Key questions	Answers/notes	Actions required
--	---------------	---------------	------------------

3.1	Who do you need to consult with?	Trade unions; self organised groups; workforce development management group; HR committee; corporate equalities working group	
3.2	What method / form of consultation can be used?	Formal meetings. Send documents for comments.	
3.3	What consultation was actually carried out as part of this EqIA and with which groups?		
3.4	What were the main issues arising from the consultation?		

Recording the consultation

You must ensure that you record all the main areas of concern raised by equality and customer groups during consultations and how you will address these concerns. You may wish to consider using a template such as the one below:

Group consulted	Date, Venue and number of people attending consultation	Area of concern from Group	How will this be addressed and fed back to the group?

Please attach the results of your consultations here:

Group consulted	Date, Venue and number of people attending consultation	Area of concern from Group	How will this be addressed and fed back to the group?

4. Assessment of impact		
	Based upon any data you have analysed, or the results of consultation or research, use the spaces below to list how the policy will or does actually work in practice for each equalities group. Identify any differential impact and consider whether the policy/function meets any particular needs of each of the six equalities groups. Also include any examples of how the policy or service helps to promote race, disability and gender equality.	
		Impact or potential impact (negative, positive or neutral)
4.1	Gender – identify the impact/potential impact of the policy on women, men and transgender people	
4.2	Disability - identify the impact/potential impact of the policy on disabled people (ensure consideration of a range of impairments including visual and hearing impairments, mobility impairments, learning disability etc)	
4.3	Age – identify the impact/potential impact of the policy on different age groups	
4.4	Race – identify the impact/potential impact on different black and minority ethnic groups	
4.5	Sexual orientation - identify the impact/potential impact of the policy on lesbians, gay men, bisexual and heterosexual people	
4.6	Religion/belief – identify the impact/potential impact of the policy on people of different religious/faith groups and also upon those with no religion.	
4.7	Have you identified any areas in which the policy/service or function is indirectly or directly discriminatory? If you answer yes to this please	

	refer to legal services on whether this is justifiable within legislation.		
4.8	If you have identified any adverse impact(s) can it be avoided, can we make changes, can we lessen it etc? (NB: If you have identified a differential or adverse impact that amounts to unlawful discrimination, then you are duty bound to act to ensure that the Council acts lawfully by changing the policy or proposal in question).		
4.9	Are there additional measures that could be adopted to further equality of opportunity in the context of this policy/service/function and to meet the particular needs of equalities groups that you have identified?		

5.	Internal processes for the organisation – to be explored at the end of the mentoring process.		
Making a decision in the light of data, alternatives and consultations			
	Key questions	Answers/notes	Actions required
5.1	How will the organisations decision making process be used to take this forward?		
Monitoring for adverse impact in the future			

	Key questions	Answers/notes	Actions required
5.2	What have we found out in completing this EqIA? What can we learn for the future?		
5.3	Who will carry out monitoring?	Author of policy	Review policy in light of findings
5.4	What needs to be monitored?	Impact of reviews on employees and underrepresented groups	
5.5	What method(s) of monitoring will be used?	"before and after" snapshots of employees and the posts they are in	
5.6	How will the monitoring information be published?	After a series of reviews managers will evaluate the impact and seek appropriate action	
Publication of results of the equality impact assessment			
	Key questions	Answers/notes	Actions required
5.7	Who will take responsibility for writing up the EqIA report?	Author	
5.8	How will the results of the EqIA be published?	The Source	
5.9	Who will take responsibility for this?	Author	

6. Equality Impact Assessment Improvement Plan

Please list actions that you plan to take as a result of this assessment (continue on separate sheets as necessary). These actions need to be built into the service planning framework and targets should be measurable, achievable, realistic and time bound.

Title of service/function or policy being assessed:

Name and role of officers completing assessment:

Date assessment completed:

Issues identified	Actions required	Progress milestones	Officer responsible	By when

Once you have completed this form, keep a copy of the form as a record of the processes you have been through in carrying out the EqIA

Please sign and date this form, keep one copy and send one to the Corporate Equalities Team.

Signed
Lead Officer
Date

Signed
Departmental Equalities Contact
Date

Action Plan

Recommendation	Key activity	Progress milestones	Officer Responsible	Progress

Signed
Lead Officer
Date

Signed
Departmental Equalities Contact
Date