

Screening/Scoping Pro Forma

Section	Human Resources	Officer responsible for the screening/scoping	Richard Wood, Interim HR Manager		
Name of Policy to be assessed	Appraisal Process	Date of Assessment	30/10/2008	Is this a proposed new or existing policy/procedure/practice?	Existing
1. Briefly describe the aims, objectives and purpose of the policy/procedure/practice?	To provide a framework for the individual and their line manager to get together, outside of their day-to-day interaction, to consider the individual's performance and development, the line manager's role in supporting the employee and to agree specific targets for the next 12 months				
2. Are there any associated or specific objectives of the policy/procedure/practice? Please explain.	<ul style="list-style-type: none"> ➤ Performance improvement; ➤ Making greater use of the individual's skills and talents; ➤ Reward determination ➤ Ensuring good and effective communication between the individual and their line manager 				
3. Who is intended to benefit from this policy and in what way?	<ul style="list-style-type: none"> ➤ The employee in getting a better understanding/clarity on what is expect of them; ➤ The line manager in gaining an understanding of the needs of the individual and the identification of barriers to progress. ➤ The community that the Council serves through the continuously improving talents and skills of the GBC staff; ➤ The corporate body that is the Council and the achievement of its aims and objective through the continuously improving talents and skills of the GBC staff; 				
4. What outcomes are wanted from this policy/procedures/practice?	<ul style="list-style-type: none"> ➤ That all employees are appraised in the time frame set by the Council ➤ That the line manager ensures that the required documentation is put in place and, where necessary, 'actioned' upon. ➤ Improved performance at individual, team, service unit and corporate level. 				

<p>5. What factors/forces could contribute/detract from the outcomes?</p>	<p>Expectations from previous appraisal not being met; Appraisals being missed; The procedure not being followed in full Inadequate preparation for appraisals on the part of the individual and/or their manager. The individual and/or their manager regarding this a process and not an improvement tool Disagreements on the outcomes of appraisals between the individuals, their line manager and their line manager's manager</p>		
<p>6. Who are the main stakeholders in relation to the policy?</p>	<p>Employees Line managers Corporate management The Council</p>	<p>7. Who implements the policy, and who is responsible for the policy?</p>	<p>Line management HR on behalf of the Management Team</p>
<p>8. Are there concerns that the policy <u>could</u> have a differential impact on racial groups?</p>	<p>¥</p>	<p>N</p>	<p>The appraisal process applies to all staff with the Appraisal Discussion being a 1:1 meeting. In the extreme, there could be cultural issues particularly where the line manager is of a different gender to the individual and or where the individual's cultural norm is to talk up or talk down success. There could be a problem if the line manager is from a different ethnic group and has a stereotypical view of people from the relevant minority ethnic group(s). The involvement of the line manager's manager in the process would mitigate against this in the unlikely event that it should happen with the appeal process providing a 'long stop' quality check.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>The concern identified is hypothetical and there is no evidence that such concerns are real.</p>		

<p>9. Are there concerns that the policy <u>could</u> have a differential impact due to gender?</p>	<p>¥</p>	<p>N</p>	<p>The appraisal process applies to all staff with the Appraisal Discussion being a 1:1 meeting. Only in the extreme would there be concerns of a differential, where the individual and the line manager are not of the same gender and one or other holds sexist views. The involvement of the line manager's manager in the process would mitigate against this in the unlikely event that it should happen with the appeal process providing a 'long stop' quality check.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>The concerns identified are hypothetical and there is no evidence that such concerns are real.</p>		
<p>10. Are there concerns that the policy <u>could</u> have a differential impact due to disability?</p>	<p>¥</p>	<p>N</p>	<p>The appraisal process applies to all staff with the Appraisal Discussion being a 1:1 meeting. The appraisal discussion should include consideration of reasonable adjustments particular where the condition is recently diagnosed or is degenerative, i.e. in addition to the day to day management of the situation. The appraiser should be required to demonstrate a positive approach to this element of the appraisal discussion. The involvement of the line manager's manager in the process would mitigate against this in the event that it should happen with the appeal process providing a 'long stop' quality check.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>The concerns highlighted a potential but hypothetical situation that this more likely to occur by omission rather than any real negative feelings. A minor redraft to the appraisal process to flag this to both the appraiser and appraisee should be considered.</p>		
<p>11. Are there concerns that the policy <u>could</u> have a differential impact due to sexual orientation?</p>	<p>¥</p>	<p>N</p>	<p>The appraisal process applies to all staff. The appraisal process applies to all staff with the Appraisal Discussion being a 1:1 meeting.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>The Council currently does not monitor its staff for their sexuality and, as such, it is unlikely that this will be known by either party.</p>		

<p>12. Are there concerns that the policy <u>could</u> have a differential impact due to their age?</p>	<p>¥</p>	<p>N</p>	<p>The appraisal process applies to all staff with the Appraisal Discussion being a 1:1 meeting. There should be no concerns although, where there is a significant age difference between appraisee and appraiser, both parties would need to be sensitive to the need not to bring age perceptions into the discussion except where it is for clarification and to value differences, e.g. the young appraiser valuing the experience of an older appraisee. The involvement of the line manager's manager in the process would mitigate against any negative impact in this respect in the event that it should happen with the appeal process providing a 'long stop' quality check.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>The concerns identified are hypothetical and there is no evidence that such concerns are real</p>		
<p>13. Are there concerns that the policy <u>could</u> have a differential impact due to their religious belief?</p>	<p>¥</p>	<p>N</p>	<p>The appraisal process applies to all staff with the Appraisal Discussion being a 1:1 meeting. Where either party follows a religion or belief that place requirements out of what would be consider the 'norm' (e.g. a requirement to pray at a particular time of day), the appraisal discussion would be a good, structured opportunity to discuss the accommodation of such requirements.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>The Council currently does not monitor its staff for their religion or belief and, as such, this may not be known by either party.</p>		
<p>14. Are there concerns that the policy <u>could</u> have a differential impact due to them having dependants/caring responsibilities?</p>	<p>¥</p>	<p>N</p>	<p>The appraisal process applies to all staff with the Appraisal Discussion being a 1:1 meeting. Where either party is a carer, the appraisal discussion would be a good, structured opportunity to discuss/review the accommodation of the carer's requirements.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>The Council currently does not monitor its staff who are carers although, in most cases, it is likely to be known by both parties. There is, though, no evidence that identifies that the role of a carer is a real concern in the appraisal process.</p>		
<p>15. Are there concerns that the policy <u>could</u> have a differential impact due to them have an offending past?</p>	<p>¥</p>	<p>N</p>	<p>The appraisal process applies to all staff with the Appraisal Discussion being a 1:1 meeting. It is unlikely that there would be grounds for including a discussion on the criminal record of a member of staff.</p>

<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>The Council currently does not monitor whether its staff are ex-offenders and, as such, this may not be known by either party.</p>		
<p>16. Are there concerns that the policy <u>could</u> have a differential impact due to them being Transgender or transsexual?</p>	<p>¥</p>	<p>N</p>	<p>The appraisal process applies to all staff with the Appraisal Discussion being a 1:1 meeting. Where such a situation exists, it is likely to have been addressed and positions understood outside of the appraisal process</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>The Council currently does not monitor whether its staff are transgender and, as such, this may not be known by either party.</p>		
<p>17. Could the differential impact identified in 8-16 amount to there being the potential for adverse impact in this policy/procedure/practice?</p>	<p>¥</p>	<p>N</p>	<p>The comments made highlighted hypothetical situations that could, in the extreme, arise. On a one-off basis, there could be an adverse impact in the application of the appraisal process but, in the unlikely event that could occur, the involvement of the line manager's manager in the process would mitigate against this in the event that it should happen with the appeal process providing a 'long stop' quality check.</p>
<p>18. Can this adverse impact be justified on the grounds of promoting equality of opportunity for one group? Or any other reason?</p>	<p>¥</p>	<p>N</p>	<p>A review of the process to introduce opportunities to promote equality of opportunity (equity) would help ensure that the appraisal process was used as a 'mainstreaming equality' tool to improve the position for people from the six equality strands. But that should not result in the creation of an adverse impact on any of the other equality strand groups.</p>
<p>Business improvement</p> <p>19. Is there any concern that there are unmet needs in relation to any of the above groups?</p>	<p>Y</p>	<p>N</p>	<p>But only in the extreme for the reasons identified in 8 – 16 above, i.e. where opportunities are missed in the annual appraisal discussion to discuss, in the structured and supportive way that the appraisal provides, issues that may be affecting an individual from the identified groups.</p>
<p>20. Does differential impact or unmet need cut across the equality strands (e.g. elder BME groups)?</p>	<p>¥</p>	<p>N</p>	<p>The likelihood of differential impacts is low for the reasons given and, therefore, it would be difficult to conclude that they are cross-cutting.</p>

<p>21. If yes, should the full EIA be conducted jointly with another service area/contractor/partner/agency?</p>	<p>Y</p>	<p>N</p>	<p>This is an internal activity – with the exception of when 360° is used involving outside agencies. Although it does impact on all staff, it is not considered necessary to conduct a full EIA in this procedure</p>
<p>22. Is there a missed opportunity to improve your business in relation to any of the policies, procedures or practices to promote racial, gender, disability, age, sexual orientation, religion or belief equality?</p>	<p>Y</p>	<p>N</p>	<p>Not identified previously in this assessment but, to give credence to the Council's approaches to equality, it is felt that all employees should be set, where practicable, at least one 'equality' target within the overall targets. I don't think this is practical and the existing core competencies about how we work with other people and communicate with them should cover equalities.</p> <p>Also, minor revisions to the procedure to ensure that equality linked issues are discussed in the appraisal process would improve the Council's 'equality' outputs including that opportunities are taken to value diversity and cultural differences.</p>

23. Should the policy proceed to a full equality impact assessment?	N	There is a case for this on the grounds that the process applies to all staff but the likelihood of differential impacts is low	Yes	No
24. If No, are there any changes required to the policy to improve it around the equality agenda?	Y	As identified in 22 above.		

Signed
 (completing officer) Date October 2008

Signed
 (Head of Section) Date

Countersigned
 (Corporate Diversity/Diversity/Policy Team) Date October 2008