

# COMMISSION FOR RACIAL EQUALITY RACE EQUALITY SCHEME 2005-08



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## FOREWORD

The Commission for Racial Equality is pursuing an urgent and ambitious agenda to combat discrimination, reduce inequality, blunt the threat of the far right and reverse the trends towards racial segregation.

Over the last three years we have developed our work around good race relations, in particular, ensuring that integration is high on the government's agenda and generating debate around the type of society we want to see: one where we are all equal, but free to be different; where there are good relations between and among communities; and where our origins do not determine our destinies.

The next three years will see us use the full range of our powers and tools to encourage changes in attitudes, behaviour and outcomes, in order to speed up the process of eliminating racial discrimination, and promoting equal opportunities and good race relations.

Underpinning all this work is the CRE's race equality scheme. Like the vast majority of public bodies, the CRE is subject to the race equality duty, which requires us to prepare and publish a scheme outlining how we propose to ensure that we provide fair and accessible services, and guarantee equal opportunities in employment.

A key requirement of the legislation is for organisations to review their functions and policies with relevance to race every three years. As the custodian of the legislation, the CRE has the dual role of ensuring that others fulfil this obligation, and doing so ourselves. This document, our second race equality scheme, is the product of our own review. It draws on our practical experience of implementing the race equality duty over the past three years, and represents our continued commitment to mainstreaming race equality into all of our functions, services and policies.

This scheme is consistent with our strategic plan for 2005-08 – a framework for action to meet the pressing challenge of reducing inequality and discrimination in 21<sup>st</sup> century Britain – and will ensure that the CRE operates within a modern equal opportunities environment, free from all forms of racial discrimination.



**Trevor Phillips**  
*Chair, Commission for Racial Equality*

## 1. Introduction

The Race Relations Act 1976 (RRA)<sup>1</sup> gives the public authorities listed, defined or described in schedule 1A of the RRA a statutory general duty to promote race equality. The aim of the duty is to make racial equality central to the way public authorities work, and to put it at the heart of policymaking, service delivery, and employment practice.

Under the general duty, in carrying out their functions, public authorities must, have 'due regard to the need to':

- eliminate unlawful racial discrimination;
- promote equal opportunities; and
- promote good relations between people from different racial groups.

The general duty is supported by the specific duties, introduced under the Race Relations Act 1976 (Statutory Duties) Order 2001, and other statutory instruments,<sup>2</sup> to make sure public authorities are in a position to meet the duty to promote race equality. These include duties to produce and maintain a race equality scheme (RES) and to collect and publish employment monitoring data.

This scheme represents a continuation of our commitment to making racial equality integral to all our functions, services and policies. It describes our strategy for meeting the statutory general duty and the specific duties over the period 2005–08, and includes a timetabled and realistic action plan. Specifically, the 2005-08 RES outlines our arrangements for:

- continuing to make the scheme part of the culture of work at the CRE;
- identifying and assessing relevant functions and policies;
- assessing, and consulting on, the likely effects of proposed policies on meeting the duty;
- monitoring policies for any adverse impact on different racial groups;
- publishing the results of our assessments, consultations and monitoring;
- making sure the public have access to information about us and about our services;
- training our workers on the duties; and

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<sup>1</sup> References to the Race Relations Act 1976 include all subsequent amending legislation, such as the Race Relations (Amendment) Act 2000.

<sup>2</sup> Statutory instruments introduced through s 71(2) of the Race Relations Act 1976.

- monitoring specified areas of employment by racial group, in line with the specific duty for employers.

The 2005-08 RES is available as information published through our publication scheme under the Freedom of Information Act (see [www.cre.gov.uk](http://www.cre.gov.uk)).

## 2. The Commission for Racial Equality

### Mission statement

*We work for a just and integrated society, where equality and diversity are valued. We use both persuasion and our powers under the law to give everyone a fair and equitable chance to live free from fear, discrimination, prejudice and racism.*

### Vision

*Our vision is an equal, just and integrated Britain where people of all backgrounds feel that their lives are enriched by our nation's historic diversity, and where no-one's life chances are reduced by their racial or ethnic origins*

The CRE is a publicly funded, non-governmental body set up under the Race Relations Act 1976 (RRA) to tackle racial discrimination and promote equality of opportunity and good race relations. The CRE is governed by 15 commissioners, including a chair, who are responsible for making policy and providing strategic direction. The commissioners are appointed by the Home Secretary, and serve a four-year term.

We have offices in three regions in England (London and the South, the Midlands, and the North), and in Scotland and Wales. Our head office in London develops national policies and strategies, provides services, and coordinates work across our offices. Our regional and country offices work to, and inform, our national policy, as well as being a source of local expertise for the areas they serve. (See Appendix 1.)

The RRA gives the CRE the following duties:

- to work towards the elimination of discrimination and harassment;
- to promote equal opportunities and good relations between people from different racial groups; and
- to review the Act, and make proposals for amending it, if necessary.

To meet these duties, and to help realise our vision of an equal, just and integrated Britain, where people of all backgrounds feel that their lives are enriched by its historic diversity, and where no-one's life chances are reduced by their racial or ethnic origins, we:

- provide information, advice and legal representation to complainants of racial discrimination, harassment or victimisation;
- advise employers and service providers on how to avoid discrimination and promote equality of opportunity and good race relations;
- where necessary, take legal action against those responsible for breaches of the RRA;

- investigate organisations where there is evidence of possible discrimination and, if necessary, require them to make changes to their policies and practices;
- promote awareness of race issues, and help to equip organisations and individuals to play their part in creating a just society;
- fund projects undertaken by racial equality councils and other voluntary organisations working locally to end discrimination and to promote good relations between communities;
- conduct relevant and timely research;
- advise government and devolved administrations on racial equality and integration issues; and
- influence MPs and keep them informed, to make sure all proposed legislation takes full account of racial equality.

## **Our achievements since 2002**

We list below the most significant and influential activities we have been engaged in over the last three years.

- We continued our work on meeting the duty to promote good race relations by generating fresh debate on the question of multiculturalism and integration, and how equality and freedom from discrimination can contribute to full civic participation by all.
- We worked closely with the Home Office, to help develop the government's community cohesion and racial equality strategy.
- We continued to work on issues concerning asylum seekers and refugees, in close consultation with statutory and voluntary sector organisations.
- We succeeded in persuading the Treasury and the Home Office to include racial equality in the spending review process; this was announced in July 2004.
- We launched a scrutiny of the way public authorities were meeting the needs of Gypsies and Travellers, particularly their need for suitable accommodation.
- We published a report of a formal investigation of key aspects of the police service in England and Wales.

More detailed information about our work is available in our annual reports.

## The CRE's strategic priorities

The CRE's strategic plan 2005-08 provides a three-year framework for action to enable us to meet the pressing challenge of reducing inequality and discrimination in 21<sup>st</sup> century Britain. This plan has six broad objectives:

- To lead the fight against racial bias and victimisation by **using our unique legal powers**, and where necessary to seek their enhancement
- To lead a national effort against division within and between different ethnic and racial communities, and **to increase their interaction and participation.**
- To work in **partnership with public authorities and government** to increase racial equality in employment and service delivery, and positively to influence the shape of legislation and government policy.
- To **create and lead a coalition** between the CRE 'family', including racial equality councils, and willing allies in the private, public and voluntary sectors; to develop the capacity of the private and voluntary sectors to work independently of the CRE.
- To develop **a compelling account of racial inequality and division** in modern Britain; an understanding of their causes and effects; and to identify the key levers available to reduce them.
- To **build the CRE's authority**, to increase our effectiveness and to raise our status and credibility with our partners and the media.

Further information about our plans and activities will be available in our annual business plans, supplemented by directorate business and operating plans; and in our organisational improvement strategy.

This RES will be followed by all our offices and will be put into practice through directorate business and operating plans, which we are currently developing.



### **3. Developing the 2005-08 race equality scheme**

The quality and equality team is responsible for all work on the CRE's race equality scheme (RES). The team approached the task of developing a second scheme by conducting a comprehensive review of all the functions and policies listed in Appendices 2, 3 and 4 of our 2002-05 RES. Senior managers were then asked to draw up a revised list of functions and policies for 2005-08, based on our business plan, and on customary procedure and practice.

Each function and policy was assessed to see if it was relevant to racial equality, and, if so, how relevant. A fresh list of functions and policies was drawn up, listed in order of priority for action (see Appendix 2), and a draft scheme produced, following meetings with the race equality duty team.

Consultation on the draft scheme with key CRE workers and their trade union representatives took place in February and early March 2005. Commissioners and the Corporate Management Team (CMT) approved the scheme in May.

#### **Aims of the 2005-08 race equality scheme**

The broad aims of our scheme have not changed since 2002. We shall continue to work towards the following:

- greater satisfaction among people from all racial groups, including CRE workers, with the way we carry out our functions;
- assessment of all proposed policies that are relevant to the duty for any unintended adverse impact on a particular racial group (or groups), and action to avoid or reduce the impact;
- to monitor the effectiveness of all policies on the promotion of racial equality and whether they are having an adverse impact on any racial groups;
- establishing the CRE as an exemplary public authority in respect of meeting the race equality duty;
- making sure our services and information about the CRE and our services reach all members of the public, regardless of racial group; and
- a representative workforce at all levels, which reflects the CRE's unique remit and role in the field of racial equality.

The arrangements, including arrangements to meet the employment duty outlined in this scheme and action plan (see Appendix 3) will help us to achieve these outcomes. In addition, we have developed key performance indicators for each objective, to help measure progress towards meeting our goals.

We shall continue to review this scheme regularly, and shall record developments in future annual reports.

## **Other areas of equality**

Given the nature of our work, the focus of most of our policies and services is on promoting racial equality. However, since our inception, we have had systems in place to ensure equality of opportunity more broadly, both for our workers and for job applicants.

To make sure our functions, policies and employment practices reflect best practice in all areas of equality, we will develop and implement a new equal opportunities and diversity strategy. This strategy will set out our commitment to diversity and explain how we will use our resources to promote equality of opportunity and to prevent all forms of unlawful or racial discrimination, harassment and victimisation.

It is our intention to combine this strategy with our scheme, to make sure any impact assessments, training, consultation and monitoring also cover other areas of equality.

The new strategy will take account of the following legislation and guidance:

### **Relevant legislation**

- *Sex Discrimination Act 1975 and Race Relations Act 1976 & 2000 (A)*
- *Sex Discrimination (Gender Reassignment) Regulations*
- *Disability Discrimination Act 1995*
- *Equal Pay Act 1970*
- *Equal Treatment Directive (EC Directive 76/207/EEC Harassment Act, 1997)*
- *Human Rights Act 1998*
- *The Race Relations Act 1976 (Amendment) Regulations 2003*
- *EC Equal Treatment 'Framework' Directive*
- *Employment Equality (Religion or Belief) Regulations 2003*
- *Employment Equality (Sexual Orientation) Regulations 2003*

### **Best practice recommendations**

- *Code of Practice on the Duty to Promote Race Equality (and guides), CRE*
- *Code of Practice for the Elimination of Racial Discrimination and the Promotion of Equality of Opportunity in Employment, CRE*
- *Code of Practice for the Elimination of Discrimination on the Grounds of Sex and Marriage and the Promotion of Equality of Opportunity in*

*Employment*, Equal Opportunities Commission

- *The Business Case for Age Diversity*, The Employers Forum on Age
- *Diversity Champions Scheme*, Stonewall
- *Stephen Lawrence Inquiry: Home Secretary's Action Plan*, The Home Office
- *Tackling Religious Discrimination: practical implications for policy-makers and legislators*, The Home Office
- *ACAS guidance on religion and belief in the workplace*

## **Complaints or enquiries about the 2005-08 RES**

We always try to work to the standards of service outlined in our charter, *Aiming High for Equality*, which can be found on our website. If you have a complaint or enquiry about this scheme, you should:

email: [info@cre.gov.uk](mailto:info@cre.gov.uk)

or write to us at:

**The Commission for Racial Equality**

**St Dunstan's House**

**201-211 Borough High Street**

**London**

**SE1 1GZ**

## **4. The CRE's 2005-08 race equality scheme (RES)**

The CRE's 2005-08 RES has eight objectives. They describe our arrangements for meeting the duty to promote race equality under the Race Relations Act (RRA).

1. Continue to make the RES part of our working culture.
2. Identify relevant functions and policies.
3. Assess and consult on the likely impact of proposed policies.
4. Monitor CRE policies for adverse impact.
5. Publish the results of assessments, consultation, and monitoring.
6. Make information about the CRE and its services available to the public.
7. Train staff on the duties.
8. Meet the specific duty for employers.

A race equality scheme shall state... in particular –  
the arrangements for **accessing and  
consulting on** the likely impact **of  
proposed policies** on the promotion of  
racial equality

(Objective 1)

## **OBJECTIVE 1 – Continuing to make the RES part of our working culture**

The objective of our first RES in 2002 was to lay the basis for making racial equality part of the culture of work at the CRE.

Since then, we have taken a number of initiatives to promote the key objectives of the scheme, some of which are listed below:

- We held a series of 'road shows' in our regional and country offices, to tell staff about our scheme, and what it meant for their work.
- We created a RES section on our intranet, to keep staff informed of developments. Postings to the site included minutes of the quality and equality team's meetings, reports on current projects, and updates to the action plan.
- We produced a step-by-step guide to conducting internal race equality impact assessments.
- We developed a template for drafting policies, to ensure that racial equality is routinely considered as part of the policy drafting process.
- We reviewed our monitoring systems, to make sure data was being collected, collated and analysed consistently.
- We surveyed the views of staff and customers.
- We developed mandatory training courses for all staff on the changes to the Race Relations Act (RRA).

The aim of the 2005–08 RES is to build on this work and use a strategic planning process to continue to include racial equality in all our structures, practices and processes.

### **Responsibility for the RES**

#### *Senior management responsibility*

Overall responsibility for the scheme rests with the chief executive, who works closely with the Finance and Modernisation Committee and the Corporate Management Team (CMT) to oversee implementation.

Appendix 3 contains an action plan, and a timetable for putting this scheme into effect. The work described in the action plan will be built into directorate and individual staff work plans for 2005-06, and beyond.

To raise the profile of the scheme, and to make sure it is part of all corporate decision-making, a member of the CMT will be appointed as a diversity champion, to provide strong and accountable leadership on all equality issues at the CRE, including the scheme.

Day-to-day coordination of the scheme rests with the quality and equality team, supported by an internal steering group, made up of officers from all parts of the CRE. The steering group meets monthly, to deal with issues arising from the implementation of the scheme, and regularly reports on progress to the CMT and the Finance and Modernisation Committee.

Directors and heads of regional and country offices are individually responsible for meeting the requirements of the scheme through their directorate operating plan, and for making sure their staff understand their roles and meet their responsibilities.

The responsibilities of officers on the quality and equality steering group will be included in their individual action plans.

#### *Collective responsibility*

Directorates have a strategic role to play in the successful implementation of the Scheme. To facilitate this process, the quality and equality team will conduct a series of general and more specialised training courses. The general training will consist of workshops designed to raise awareness of the scheme, while the specialised courses will train policy writers to conduct impact assessments, and human resources staff to collate and analyse employment duty monitoring data. These are just two examples of the way we will train our workers to help meet our obligations under the general duty.

Appendix 3 contains our action plan, and a timetable for putting this scheme into practice. The work described in the action plan will be built into directorate and individual workplans for 2005-06, and beyond.

A race equality scheme shall state... in particular – those of its **functions and policies**, or proposed policies... accessed as **relevant to its performance of the duty** imposed by section 71 (1) of the Race Relations Act

(Objective 2)



## **OBJECTIVE 2 - Identify relevant functions and policies**

A review of the functions and policies listed in our first scheme revealed that there was no distinction between current, new, and proposed policies. Furthermore, because of a shift in the CRE's strategic direction a number of proposed policies were not implemented and in many cases were replaced with new initiatives.

Therefore, our approach in this scheme is to improve transparency and understanding of this latest review into our functions and policies. We have done this by clearly distinguishing between current and proposed policies, and within these categories we then distinguished between internal and external policies.

We have also provided more information about the review process, particularly information that helps explain priority levels given to each function and policy, and allows policies to be compared with each other in terms of their consequences for racial equality.

We will periodically review this list throughout the life of the scheme, to make sure it is an accurate reflection of all our policies and practices.

### **The review and assessment process**

In identifying our relevant functions and policies, we followed a four-stage procedure. This consisted of:

- reviewing the functions and policies listed in the 2002-2005 RES;
- drawing up a new list of all our functions and policies, including policies proposed for 2005-08;
- assessing the relevance of all functions and policies, and the priority they should receive if they were relevant, by using the grids recommended in *The Duty to Promote Race Equality: A Guide for Public Authorities* (CRE, 2002) to develop a simple scoring system; and
- consulting key staff on a list of relevant functions and policies, and their priorities, and drawing up a final list (see Appendix 2).

Throughout the three years of this scheme, we will use the knowledge and information gathered to review the relevance and rank (by priority) of all our functions and policies.

Each directorate will ensure that its functions and policies are reviewed at least once over the three-year lifetime of the scheme; and that these reviews are included in their directorate operating plan.

More detailed information on our review and quality assurance processes may be found in Objective 4 – Monitoring CRE policies for adverse impact.

### **Review of the 2005-08 RES**

We will continue to conduct annual reviews of progress in implementing our scheme, and will publish the results in our annual reports. At the end of the three-year period, the quality and equality team and the CMT will review the 2005-08 RES, and introduce a revised version to cover the next three years (see Appendix 2, Action Plan: Objective 1).

A race equality scheme shall state... in particular – the  
**arrangements for accessing and**  
**consulting on** the likely impact of **proposed**  
**policies** on the promotion of racial equality

(Objective 3)

### **OBJECTIVE 3 – Assess and consult on the likely impact of proposed policies**

During the first year of the 2002-05 RES, we noticed inconsistencies in the way policy writers were approaching race equality impact assessments (REIAs). We therefore produced a practical and systematic guide on the various stages of the process, based on our published guidance at <http://www.cre.gov.uk/duty/reia/index.html>.

The aim of the guide is to help decision makers and policy writers to take account of racial equality at the initial stage of developing policies, and as part of the wider strategic approach to improving our services<sup>3</sup> and developing policy.

The aim of an REIA is to:

- (i) identify and highlight the potential effects that proposed policies will have on different groups;
- (ii) take action to reduce or eliminate any identified adverse impact on race equality that cannot be justified before the policy is implemented;
- (iii) identify issues in the context of other relevant policies;
- (iv) consider the potential impact on race equality at later stages in the process of implementing, monitoring and evaluating; and
- (v) ensure all new functions and policies promote the statutory general duty as far as possible.

Our REIA process consists of two stages:

a) ***Initial Screening Process:***

Designed to screen a policy proposal for its relevance to racial equality.

b) ***Full Impact Assessment:***

A systematic way of fully assessing a relevant proposed policy to make sure it will not have adverse effects on different racial groups.

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<sup>3</sup> Objective 6: Making sure that the public have access to CRE information and services and our charter, *Aiming High for Equality*.

## **Race Equality Impact Assessment Process (REIA)**

### **Stage 1 The initial screening process**

Before we conduct a full REIA on proposed policies, it is necessary to perform an initial screening to assess the relevance of the policy to the duty to promote race equality.

The screening process is divided into three stages, which consider whether the proposed policy is relevant to racial equality. Details of these questions are contained at Appendix 4. The three stages are:

- identifying the main aims of the policy;
- collecting information; and
- deciding if the policy is relevant

If the answer is **'No'** to all the questions, the process ends, as the policy is not relevant to the duty, and a statement is inserted into the relevant CRE committee report, explaining why the policy does not need a full REIA.

If the answer is **'Yes'** to one or more of the questions, the policy is considered relevant to the duty to promote race equality. The policy writer then completes the screening form, and launches a full REIA.

### **Stage 2 Full impact assessment process**

A full REIA consists of the following eight stages:

- identify all the aims of the policy;
- consider the evidence used to conduct the REIA;
- assess the likely impact;
- consider policy alternatives;
- consult formally;
- decide whether to adopt the policy;
- implement monitoring arrangements; and
- publish assessment results.

At the end of the assessment, the policy officer attaches a copy of the assessment report to the policy document and submits it to the CMT, and the relevant committee, for approval.

A flow chart of the CRE's internal REIA process is attached at Appendix 5.

### **Dealing with adverse impact**

If evidence of any adverse impact is found during the REIA process, the policy writer has four options:

- **Change the proposed policy**  
by satisfying concerns raised by staff or stakeholders, where possible.
- **Consider ways of putting the proposed policy into place**  
that will remove or reduce its potential for adversely affecting some racial groups.
- **Find alternative means for achieving the aims of the policy**  
which do not cause the same level of adverse impact.
- **Justify the policy as originally proposed**  
even when it could affect some racial groups adversely, because of the policy's importance, for example, to meet special needs of particular groups and there is no other way of achieving the aims of the policy.

Wherever possible, the policy may be piloted, and its operation monitored, before it is put fully and formally into effect. Use of a pilot area allows officers to monitor and identify the possible impact of the policy on a sample group.

### **REIA summary report**

At the end of the REIA, the policy writer should write a report, a summary of which will be available for publication, listing all the information, statistics and research used in the screening and full assessment. The report should also summarise the responses received during any consultations on the policy.

## REIA training

We have developed a new and comprehensive employee-training programme, which will train policy writers on their responsibilities under the duty.

## Consultation

We consult various partners and stakeholders on our policies as they are developed, selecting different groups to take part in the process, depending on the subject of the policy, and the intended recipients.

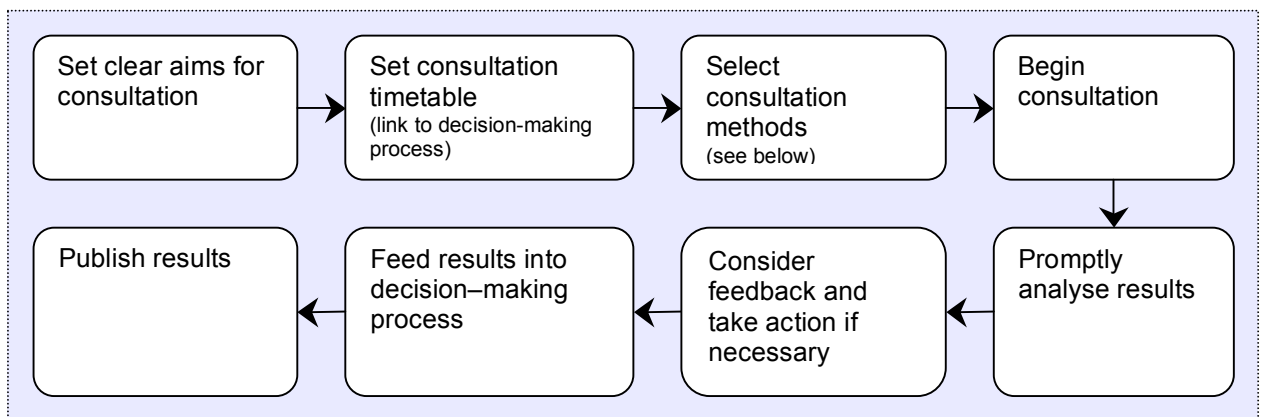
We use a range of methods for both employee and public consultations, including surveys, open meetings, group discussions with partners, conferences, and written documents. We have also commissioned consultants to manage wider consultations for some of our external strategies.

In all instances, we try to include anyone who might have an interest in the development and implementation of the policy, starting with our database of people who have taken part in previous consultations.

The level of participant input in a consultation exercise will vary, depending on the nature of the policy; however, we will ensure all relevant parties are fully aware of the role they play and the areas open for consultation in each case.

## The consultation process

When we consult, we will take the following steps:



## Our consultation principles

We aim to ensure that each consultation is:

- Accessible – in content and in the way it is conducted.

- Proportionate – the nature and scale will depend on how important the issue is to racial equality.
- Appropriate – the methods used will match the consultation issue.

## Our consultation methods

The consultation methods we have used have included:

|   |   |   |
|---|---|---|
| <b>Hosting meetings</b><br>with relevant groups and individuals | <b>Paper consultation</b><br>with targeted groups             | <b>Advisory committees</b><br>created for specific issues |
| <b>Focus groups</b>   | <b>Surveys</b><br>For example, on perception and satisfaction | <b>Internet-based consultation</b>                        |

## Who we consult

Our work has the potential to affect every individual and community in Britain, particularly people from ethnic minority groups. To make any consultation process realistic, we have to ensure that our consultation is targeted and aimed at the right people.

We take great effort, therefore, to consult those who are most likely to be affected by a proposed policy. Each proposal may require input from a mixture of the following:

|                                      |                              |                                   |
|--------------------------------------|------------------------------|-----------------------------------|
| Advice networks                      | Equality organisations       | Government bodies and departments |
| Racial equality organisations        | Religious and faith groups   | Campaigning organisations         |
| Charitable organisations             | Legal organisations          | Groups traditionally overlooked   |
| Immigration and asylum organisations | Community development groups | Trade union groups                |

## Consulting minority groups

We are particularly aware that it may be harder for some groups to take part in public consultations. To overcome such difficulties, and to ensure that we reach all those likely to be affected by our policies, we work closely with partner organisations, such as racial equality councils (RECs) and voluntary and community organisations, which already have relationships with, and experience of, particular communities, as they can advise us on how to reach and engage with them effectively.



## **Evaluation of the process**

To ensure our consultation methods are effective, we will monitor and evaluate these exercises, to see what did and did not work, and why. The evaluation process will include the following questions:

- Did we set clear objectives?
- Were the objectives relevant to the consultation?
- Did we get the views of all relevant groups?
- Were we successful in consulting minority, disadvantaged or under-represented groups, particularly hard-to-reach groups?
- Was the timetable for the consultation appropriate?
- Was the information accessible and easy to understand?
- How did we use the feedback from those consulted?
- Has the consultation led to any changes to the policy?
- Did we give feedback to those consulted?
- Have we published the results of the consultation?

A race equality scheme shall state... in particular –  
the **arrangements for monitoring** its  
**policies for any adverse impact** on  
the promotion of racial equality

(Objective 4)

## OBJECTIVE 4 – Monitor CRE policies for adverse impact

The following table shows the main areas of service delivery and employment issues that we currently monitor. Although we provide other services, we are currently unable to collate ethnicity data on general advice enquiries, which we receive through telephone calls, emails and letters.

We are therefore only able to collate information about an individual's ethnicity if they request and receive legal assistance, as detailed in the table below. We follow the expanded 19-category Census 2001 classification in monitoring employment, and we use the simple 5-category classification for legal assistance (see Appendix 9 for Census categories).

| Function or policy                                      | Ethnically monitored? | Process used   | Carried out by                   |
|---|-----------------------|----------------|----------------------------------|
| Employment monitoring data                              | Yes                   | HRIS           | Human Resources                  |
| Individual applications for assistance (see Appendix 6) | Yes                   | AXXIA**        | Legal                            |
| Legal advice enquiries                                  | Yes                   | AXXIA          | Legal                            |
| Legal Committee decisions                               | Yes                   | AXXIA          | Legal                            |
| Employment tribunal decisions (CRE-assisted cases only) | Yes                   | AXXIA          | Legal                            |
| Legal follow-up work                                    | Yes                   | AXXIA          | Legal                            |
| Applications for funding research projects              | Yes                   | Manual         | Communications                   |
| Section 44 grants applications                          | Yes                   | Manual         | Countries, Regions & Communities |
| Customer complaints                                     | Yes                   | HRIS†          | Organisational Development       |
| Customer satisfaction surveys                           | Yes                   | SPSS*          | Organisational Development       |
| General advice enquiries                                | No*                   | Not applicable | -                                |

\*\* Legal case management system

† Human Resources information system

\*Statistical data collation and analysis

By monitoring applications for assistance (Appendix 6), we can compare the current year data with information from previous years. If there is evidence of low reporting levels by certain ethnic groups, we will investigate the matter and take appropriate action. This is one example of how we will use monitoring to help meet our obligations under the general duty.

## **What are we doing?**

We are in the process of introducing a new HR management information system, which will allow us to collate and monitor data by sex, disability, religion or belief, sexual orientation, disability and age, as well as racial group. In the interim, we have continued to collate the information manually.

To make sure we meet the general duty to promote race equality, and the specific duties, we will:

- collect accurate, consistent and up-to-date information, by racial group, for all relevant functions and policies in employment and service delivery;
- submit regular monitoring reports to the Corporate Management Team (CMT);
- decide what action is needed to deal with any issues revealed by the monitoring data;
- change policies, as appropriate; and
- publish the results of our monitoring.

We will monitor and evaluate our major strategies and policies by seeking the views of our workers, and of organisations in the private, public and voluntary sectors, about their effects on racial equality.

We will decide the most appropriate method for monitoring each function, policy, or sets of policies, according to the circumstances. We often use conventional ethnic record-keeping and monitoring, but we may also use the following:

- employee perception surveys;
- qualitative and quantitative stakeholder surveys, for example customer surveys; and
- public consultation meetings or focus groups.

## **Reviewing policies for adverse impact**

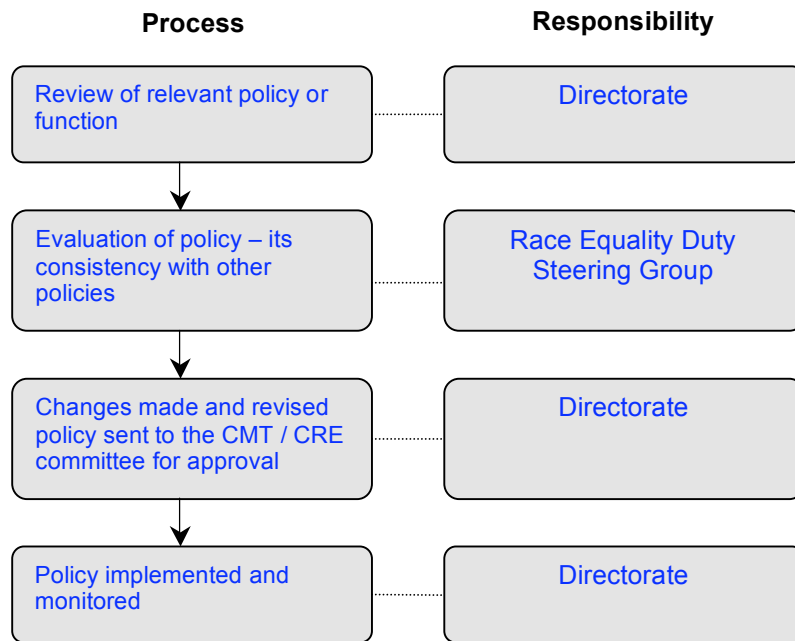
It is the responsibility of directors to ensure that policies in their directorates are reviewed regularly for any evidence of adverse impact; and for ensuring that that these targets are included in their business plans.

To maintain consistency, the CRE's race equality duty steering group (REDSG) will receive copies of all reviews, auditing a sample of these from each directorate. Once this is done, the policy will be sent back to the directorate, which will, where appropriate, make any recommended changes, before seeking

approval from the CMT (for internal policies) or the relevant CRE committee (for external policies).

If the CMT and/or the relevant committee decides not to make any changes, then no further action is required until the next review. However, if after consideration by the CMT and/or the relevant committee, it is decided that changes are necessary, it will be the responsibility of the relevant director to ensure that this process is completed within four months of the date of the decision. See Table 1.

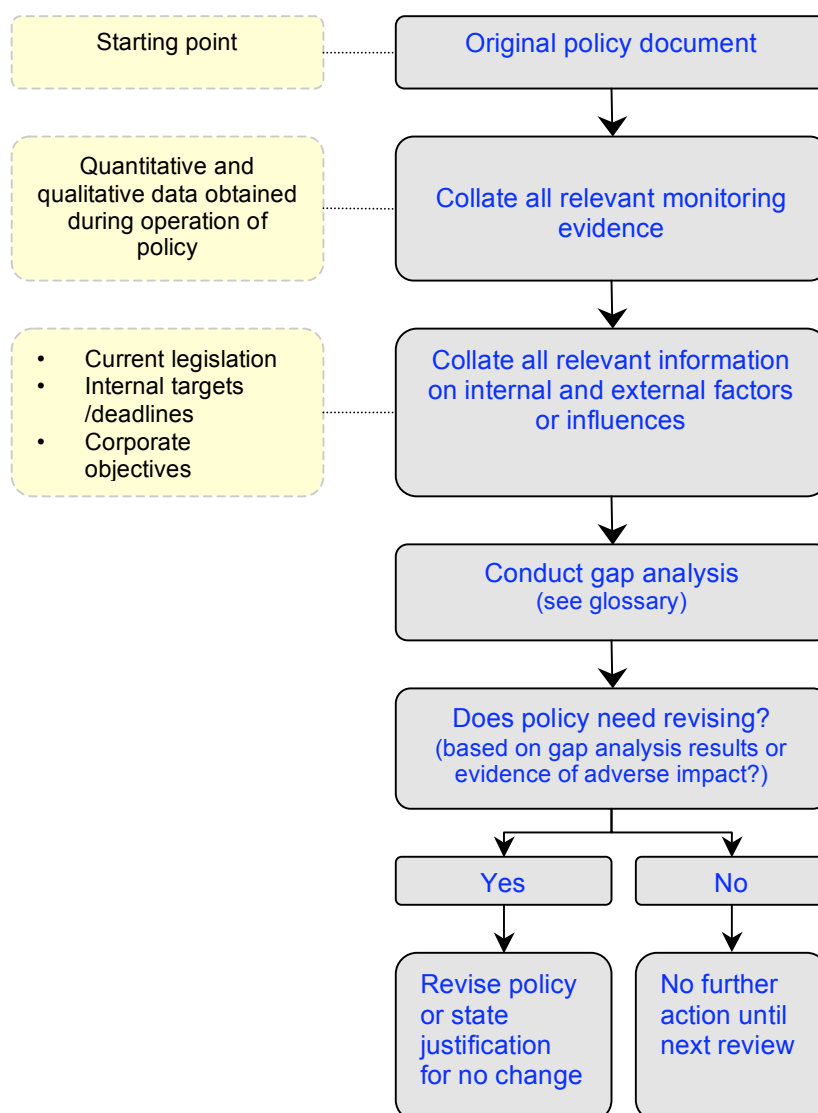
**Table 1: Policy review process – Overview**



The department will continue to use the policy in question while the review is under way, and will monitor its effect during this period on racial equality in employment and service delivery.

The diversity of policies and functions across directorates makes it difficult to prescribe how each review should be conducted, although Table 2 provides an example of the process that they are likely to follow.

**Table 2: Process for reviewing individual policies**



As appropriate, the director should consult with workers, clients or users, and with other relevant groups in carrying out the review.

If a review shows that a policy is in actual or potential breach of any of the three parts of the general duty (see p 4), we will investigate the policy thoroughly and either revise it or introduce measures to counteract its effects. If we did not originally give the policy high priority for review in our action plan, we will amend the timetable for reviews and action, accordingly.

## Timetable for reviewing policies

We will review all existing policies throughout the life of this scheme, based on their ranking, as detailed in Appendix 2 and the following table

| Ranked policies level | Year of review |
|-----------------------|----------------|
| HIGH                  | 2005/6         |
| MEDIUM                | 2006/7         |
| LOW                   | 2007/8         |

## Reviewing informal policy decisions

The CRE operates within agreed policy parameters; however, we recognise that occasionally, we may make informal decisions that are likely to have a long-term effect on current practice.

In these circumstances, it is the responsibility of the appropriate directorate in question to ensure that the policy is reviewed (as described in Table 2) and revised accordingly. Once revised, the policy will follow the agreed procedure for developing and implementing new and proposed policies (see Appendix 5).

A race equality scheme shall state...in particular –  
the **arrangements for publishing** the  
**results of** such **assessments and**  
**consultation...**

(Objective 5)



## **OBJECTIVE 5 – Publish the results of assessments, consultation and monitoring**

Our review of the 2002-05 RES revealed that we needed to make improvements to the way that we collect and update data relating to race equality impact assessments.

We have therefore reviewed this issue and have established a corporate project group, which will look into establishing a knowledge management process (see Objective 6 for further information).

We have also developed a content management system for our website and are in the process of doing the same for our intranet, which will improve the way in which we make information available, as well as improve customer access to our services.

From 31 May 2005, we will publish on our website:

- this race equality scheme;
- a summary of the results of all assessments and consultations conducted;  
and
- a summary of the results of monitoring conducted

Details of the timetable for publishing these documents are contained in the action plan at Appendix 3.

We will also publish these summaries in our annual report and through other media, as appropriate.

To make the information we publish accessible and freely available, upon request, we will provide our documents in large print, tape, Braille and as summaries translated into relevant minority languages.

The four main categories of information we will publish are:

|                   | <b>Impact assessments</b>  | <b>Consultation exercises</b>  | <b>Monitoring for adverse impact</b>  | <b>Employment monitoring data</b>  |
|-------------------|--|--|---|--|
| <b>Containing</b> | <ul style="list-style-type: none"> <li>• A description of the policy by the relevant directorate, including a brief account of the REIA</li> <li>• A summary of the results of the assessment</li> <li>• Details of research data used</li> <li>• Details of any amendments made in light of the assessment</li> <li>• A statement of what will happen next (such as implementation and monitoring)</li> </ul> | <ul style="list-style-type: none"> <li>• An assessment of the policy in light of the responses received</li> <li>• A statement of what will happen next</li> <li>• Why we carried out the consultation</li> <li>• A summary of replies received, subject to the Data Protection Act</li> <li>• How the consultation was conducted</li> </ul> | <ul style="list-style-type: none"> <li>• Reports of reviews</li> <li>• Details of any adverse impact identified</li> <li>• Details of action taken or planned to deal with evidence of adverse impact</li> <li>• Any policy changes arising as a consequence of the findings</li> </ul> | <ul style="list-style-type: none"> <li>• Details of the racial groups of CRE workforce, applicants for jobs, promotion and training, and numbers of workers in all the areas specified in the duties for employers</li> <li>• Details of any adverse impact identified</li> <li>• Details of action taken or planned to deal with evidence of adverse impact</li> <li>• Any policy changes arising as a consequence of the findings</li> </ul> |

A race equality scheme shall state... in particular

– the **arrangements for ensuring**

**public access to information**

**and services** provided

(Objective 6)

## **OBJECTIVE 6 – Make information about the CRE and its services available to the public**

This has always been a priority for the CRE and, over the past three years, we have taken several steps to improve access to our services and the information we provide. For example, we have:

- Increased our grant aid to local complaint-aid bodies, to increase access to legal advice and assistance;
- conducted access audits under the Disability Discrimination Act 1995 (Part III), to make sure our services are accessible to all;
- redeveloped and enlarged our website; and
- established advisory boards, made up of key local stakeholders, located in Wales, Scotland and London.

As required under the Freedom of Information Act (FOI), we have produced a downloadable publication scheme, which explains what types of information will be available, and how people can obtain it.

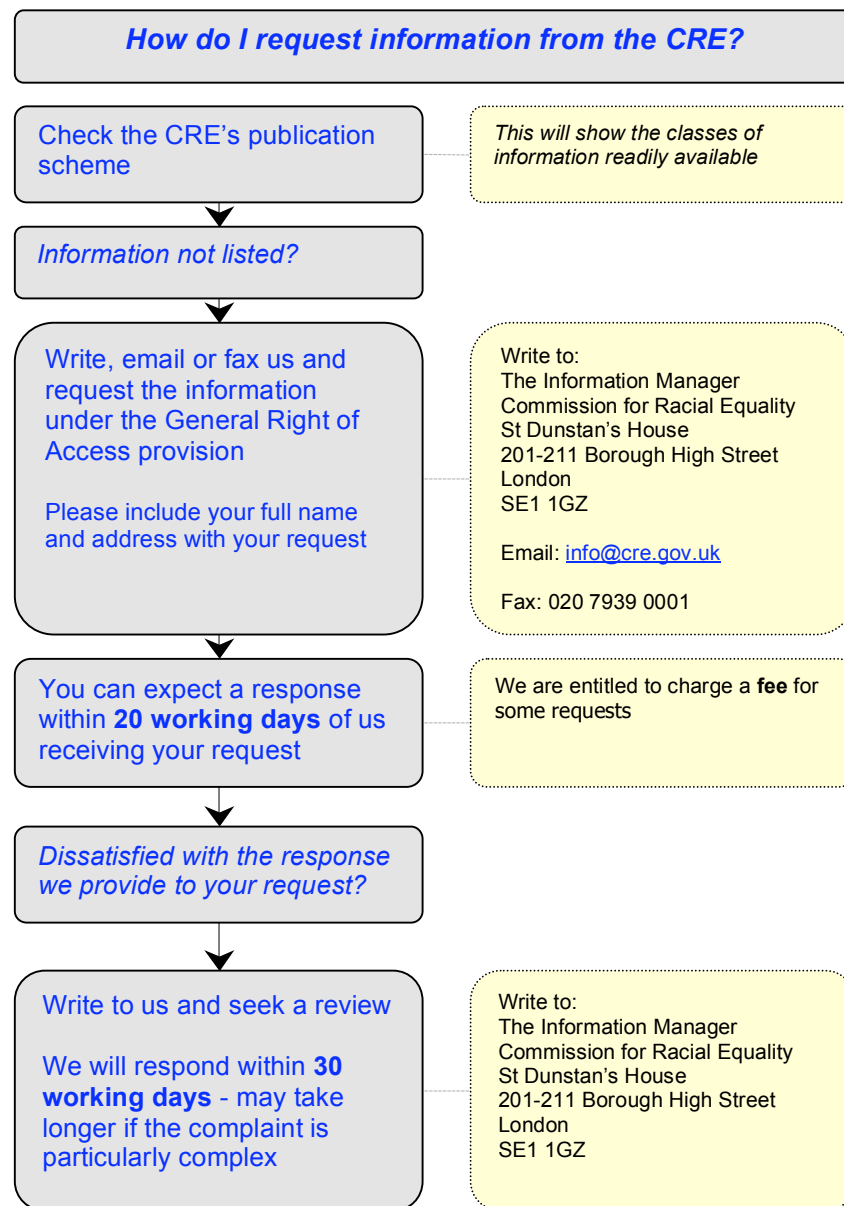
To improve further our information services, we plan to develop and introduce a system of knowledge management. The programme will encompass the management, administrative systems and training needed to ensure all our workers know what information we hold, and how to obtain it.

### **Access to information**

In line with our publication scheme (under the FOI), and our standard for customer services, *Aiming High for Equality*, we provide a wide range of information about our activities to all sections of the public, interest groups, government departments and other organisations. The information includes:

- an annual report, which must first be approved by the secretary of state and laid before parliament;
- statutory and non-statutory guidance, much of it downloadable free of charge (<http://www.cre.gov.uk/foicre.pdf>) as pdf files from our website, such as the statutory *Code of Practice on the Duty to Promote Race Equality*, and the accompanying non-statutory guides for public authorities;
- explanations of the Race Relations Act (RRA) and other relevant legislation;

- *Connections*, our quarterly magazine on race issues in Britain (currently on hold until it is relaunched in late 2005);
- news and information about conferences and other events, including the Race in the Media Awards (RIMA);
- reports of investigations and research;
- factsheets on racial discrimination and inequality in a wide range of sectors, such as employment, housing, education, local government and sport; and
- general and specific advice from our information services team.



## Access to services

With offices across Britain, we are able to provide wide access to our services, which include:

- Advice and representation under section 66 of the RRA – information on how to apply to the CRE for assistance, if you believe you have suffered racial discrimination, harassment or abuse, may be found at on <http://www.cre.gov.uk/legal/rights.html>.
- Advice to employers on law and good practice.
- Advice to public authorities on how to meet the duty to promote race equality.
- Funding for organisations, including racial equality councils, which promote good race relations and work to eliminate unlawful racial discrimination and harassment.

In an attempt to remove barriers created by language differences, we will consider reasonable requests for translation.

In deciding on the reasonableness of a request for documents in languages other than English and Welsh (see below), we may consider the following factors:

- length of document;
- number of requests received;
- availability of the information from another source; and
- an individual's ability to obtain free online translations from websites (such as [www.altavista.com](http://www.altavista.com), [www.babelfish.com](http://www.babelfish.com))

We recognise that the increasing diversity of modern Britain has created newer communities, for whom the inability to understand English may pose barriers to obtaining the information they need.

We are therefore committed to researching this area further as part of our communications strategy, to ensure that our services and documents are fully accessible to a wider audience.

In producing our documents, we will comply with the Welsh Language Act 1993.

Our services are accessible through:

- email;
- letter;
- face-to-face meetings, by appointment;

- telephone, including Minicom; and
- written guidance, publications and factsheets, available, on request, in the following formats:
  - Braille;
  - large font; and
  - tape.

## **Identifying service experiences**

We recognise that regular surveys of our customers and stakeholders are essential in order to understand their needs and to get information about their experience of using our services.

We will therefore continue to use feedback from our customer and stakeholder surveys to monitor the accessibility of our information and services. The aim of the surveys is to assess whether our customers are satisfied with our services; identify any changes or improvements needed; understand our customers better; and to make sure that their needs are met.

Results from our last survey conducted in 2004, led us to consider how we can best meet the needs of our customers. We are therefore developing an Information and Assistance Centre, which will provide a one-stop shop for people contacting the CRE.

Our next customer survey is planned for March 2006.

## **Complaints procedure**

Although we work hard to provide the best possible service, things can sometimes go wrong. A customer complaint is an expression of dissatisfaction, whether justified or not.

Our complaints procedure covers complaints about:

- the standard of the service we provide;
- the conduct of CRE commissioners or workers; and
- any action or lack of action by commissioners or workers, which affects an individual or group.

Our complaints procedure does not cover:

- dissatisfaction with our policies, or with our decisions on individual cases or applications for grants;

- matters that have already been fully investigated through this complaints procedure; and
  - anonymous complaints.
- There are three stages to this procedure: informal complaint, formal complaint, and appeal (see Appendix 7 for further details).



A race equality scheme shall state...in particular –  
the **arrangements for training staff**  
**in connection with the duties**  
**imposed** by section 71(1) of the Race Relations

Act...

(Objective 7)

## **OBJECTIVE 7 – Train staff on the duties**

Our aim is to be an exemplary organisation and we recognise that this depends on effective performance by our staff. We have therefore decided to review our training and development strategy, to make sure all our workers have the skills and knowledge they need to help achieve our key strategic objectives, including meeting the duty to promote race equality under the Race Relations Act (RRA).

Using our appraisal process, we conducted a detailed training needs analysis and used the findings to develop a new learning and development strategy. We provided training and development courses to meet the needs of staff and which included racial equality as a central component, to make sure that all our workers are fully aware of, and trained on the requirements of the general, specific and employment duty.

As part of our planned evaluation of the learning and development strategy, we will conduct further training needs analysis, to ensure the programmes we offer remain relevant to the general duty.

The action plan at Appendix 3 sets out the main tasks and timetable for implementing and evaluating this training programme.

We will continue to develop and offer training on the general duty and the specific duty in the following ways:

- General training for all workers, to make sure they are aware of the general duty and the specific duties, and how these affect them and their work. This will be part of our corporate compulsory training sessions, including induction training for new starters.
- Specific skills training for those who will:
  - develop and implement aspects of the CRE's race equality scheme, or
  - make decisions about policy, or
  - implement the CRE's personnel procedures
- This training will make sure these workers are fully aware of the general duty and their obligations under the scheme. For example, skills training will include training on:
  - monitoring systems, both for employment related and service functions;
  - how to conduct race equality impact assessments (REIAs); and
  - methods of consultation.

Our comprehensive employee-training programme, ACTION, provides a base level of skills and knowledge for all our workers, and we will use it to provide the

training needed to meet the requirements of the duty. We will monitor and review applications for, and attendance at, these courses as part of the duties in Objective 8.

Although external professional trainers mainly provide the courses, to ensure employee development and the retention of knowledge, we do use staff from our legal and policy teams to run sessions on the general and specific duty. We also support the professional development of workers in our legal, policy and human resources departments: we provide a trainee solicitors' programme, and CIPD accreditation. We also vet the equality standards of all our external training providers.

The inclusion of diversity and equality issues in everything we do is of paramount importance at the CRE, therefore we provide mandatory training on the RRA, equal opportunities and diversity, customer services and management.

Examples of the types of training courses we will provide throughout the life of this scheme include the following:

|   |   |
|---|---|
| <ul style="list-style-type: none"> <li>• Race Relations Act</li> </ul>                        | <ul style="list-style-type: none"> <li>• Age discrimination</li> </ul>                      |
| <ul style="list-style-type: none"> <li>• Race equality duty for selected employees</li> </ul> | <ul style="list-style-type: none"> <li>• Disability discrimination and awareness</li> </ul> |
| <ul style="list-style-type: none"> <li>• Conducting REIAs</li> </ul>                          | <ul style="list-style-type: none"> <li>• Applying customer standards</li> </ul>             |
| <ul style="list-style-type: none"> <li>• Human Rights Act</li> </ul>                          | <ul style="list-style-type: none"> <li>• Performance management for managers</li> </ul>     |
| <ul style="list-style-type: none"> <li>• Diversity training</li> </ul>                        | <ul style="list-style-type: none"> <li>• Interpersonal skills</li> </ul>                    |
| <ul style="list-style-type: none"> <li>• Sex and sexual orientation discrimination</li> </ul> | <ul style="list-style-type: none"> <li>• Recruitment and selection for managers</li> </ul>  |

We are also planning a comprehensive programme of training for managers, to make sure they have the skills needed to deal with a wide range of employment and service delivery issues, ranging from leadership skills to focusing on strategic priorities.

It shall be the duty of such a person to **monitor**  
**employment data** by reference to the racial  
groups to which individuals belong

(Objective 8)

## **OBJECTIVE 8: Meet the specific duty for employers**

Over the last three years, we have been successful in monitoring our employment duties, the results of which we have published in our annual reports.

In monitoring under this duty, we will use the Census 2001 categories, plus Scottish and Welsh.

As with other public authorities bound by the general duty, we will continue to monitor, by ethnic origin, sex and grade, the following:

|  |
|--|
| <b>Employment activity</b>   |
| Number of staff in post  |
| Applicants for employment  |
| Applicants for training  |
| Applicants for promotion   |
| Numbers of staff who receive training                              |
| Numbers of staff who benefit or suffer from performance appraisals |
| Number of staff who are involved in grievance procedures           |
| Number of staff who are subject to disciplinary procedures         |
| Number of staff who leave the CRE                                  |

For information on staff in post at 31 December 2004, by ethnic group, sex and grade, in full-time equivalents, see Appendix 8.

To help us improve the monitoring of employment information, we are currently procuring a new human resources management system. This will allow us to collate more detailed data, including information on temporary and fixed-term contract workers, secondees, and general equality information relating, for example, to an individual's age, gender, and religion or belief.

### **Dealing with adverse impact**

To ensure that we meet the specific duty for employers, we will investigate any patterns of inequality revealed by our monitoring, and take remedial action to address any disparity or anomaly. This will include the following:

- conducting a review of the policy or practice;
- making the necessary changes to policy and practice;
- conducting a REIA of the revised policy;
- consulting staff and trade unions;
- considering consultation feedback;
- implementing the revised policy; and
- continuing to monitor the policy.

We will continue to:

- monitor employment activities based on the Census 2001 ethnic classifications;
- collect and analyse employment monitoring data on a quarterly basis;
- provide employment monitoring reports to the corporate management team, on a quarterly basis;
- decide what action is needed to deal with issues identified by the monitoring data;
- change policies or functions, as appropriate; and
- publish the results of our monitoring in our annual report, including an analysis of the data that identifies any patterns of inequality, and any action being taken to remove identified barriers.

To comply with their duty under the amended Race Relations Act, all local authorities must **take racial equality into account when procuring goods, works, or services** from external providers

## Procurement of services

Under the Race Relations Act (RRA), as a listed public authority, we must take racial equality into account when procuring goods, works or services from external providers (see our guidance for public and local authorities and contractors on procurement and racial equality under the RRA). Compliance with this duty is also compatible with our obligations under EC rules, 'best value', value for money, and other national policies and strategies.

To ensure contractors procured by the CRE conduct their duties in a manner that assists CRE meet its obligations under the RRA, and in line with our revised statutory code of practice on racial equality in employment (forthcoming), we take the following steps:

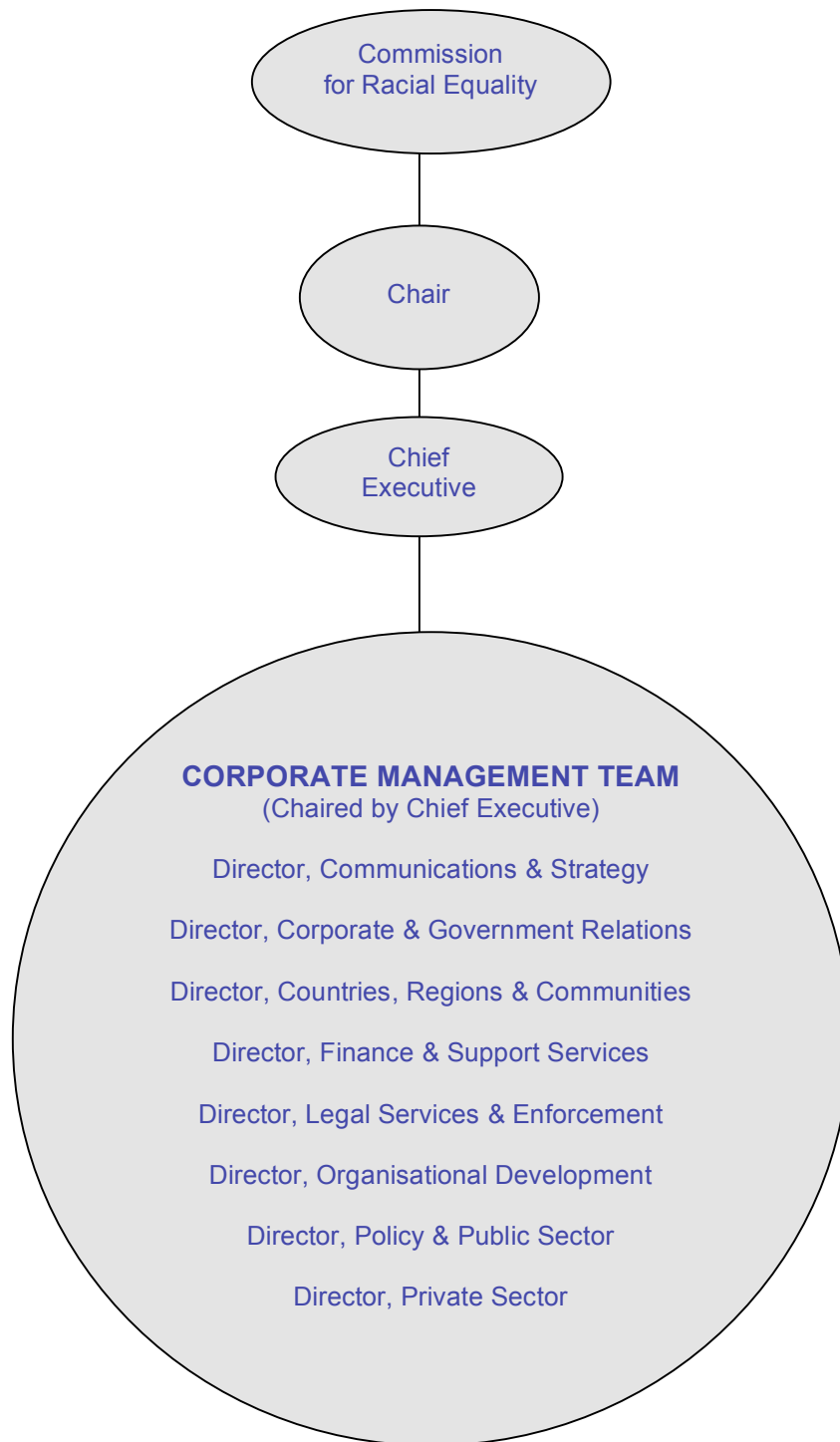
- to be accepted on our tender lists, and to be awarded a contract or to have one renewed, organisations must provide information about any findings of racial discrimination or harassment relating to them, and must also adopt the recommendations of the CRE's statutory code of practice on racial equality in employment;
- we include terms and conditions in contracts that require contractors to follow the recommendations of our employment code; and
- we encourage individuals and organisations from under-represented racial groups to tender or compete for contracts.



COMMISSION FOR  
RACIAL EQUALITY



**APPENDIX 1: CRE corporate management structure**



**APPENDIX 2 – Assessment of CRE’s functions and policies for  
relevance to the duty to promote race equality**

| Functions: statutory powers and duties under the RRA  | Policies and practices                     | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |                | Scheduled for REIA | Schedule d for review | Racial groups of policy recipients<br>EM = Ethnic Minority | Evidence justifying priority level  |
|---|--|------------------------------|---|---|---|----------------|--------------------|-----------------------|--|---|
|   |  |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | Priority Level |                    |                       |  |   |
| <p>The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups</p> <p>Relevance is linked to initial or full REIA</p> |  |                              |   |   |   |                |                    |                       |  |   |
| <p><b>Communications: Responsible for keeping staff and the general public informed about the CRE and its work</b></p>  |  |                              |   |   |   |                |                    |                       |  |   |
| Eliminating unlawful racial discrimination and harassment, and promoting equal opportunities and good race relations (s43)  | Communications strategy                    | Proposed                     | External and internal                   | A, B, C                                   | 3   | High           | 2005/6             | 2007/8                | All  | Essential to meet the duties. This strategy will describe the methods we will use to communicate internally with staff, and externally with the public, or sections of the public.          |
|   | National Information and Assistance Centre | Proposed                     | External                                | A, B, C                                   | 3   | High           | 2005/6             | 2007/8                | All  | Essential to meet the duties. Will streamline information services and legal advice/assistance, and make them more efficient and more accessible.   |
| Carrying out research (s45)   | Research strategy                          | Proposed                     | External                                | A, B,C                                    | 3   | High           | 2005/6             | 2007/8                | All  | Essential to meet the duties. This strategy will describe how we will obtain the data needed to achieve our strategic priorities and assess and monitor policies and functions effectively. |

**Appendix 2 Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA   | Policies and practices                      | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |                | Scheduled for REIA | Schedule d for review | Racial groups of policy recipients<br>EM = Ethnic Minority | Evidence justifying priority level   |
|--|---|------------------------------|---|---|---|----------------|--------------------|-----------------------|--|--|
|  |   |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | Priority Level |                    |                       |  |  |
| The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br>Relevance is linked to initial or full REIA |   |                              |   |   |   |                |                    |                       |  |  |
| <b>Legal services: Functions of the Legal and Enforcement Directorate, and other CRE directorates</b>  |   |                              |   |   |   |                |                    |                       |  |  |
| <b>Action in employment cases (s64)</b>  | Enforcement under s62(1) and s63(4)         | Litigat<br>Current           | External                                | A, B, C                                   | 3   | High           | -                  | 2005/6                | All  | Action taken in cases of persistent discrimination.  |
| <b>Reviewing the RRA</b>   | Reviewing the RRA (s43)                     | Current                      | Internal and external                   | A, B, C                                   | 3   | High           | -                  | 2005/6                | All  | Previous reviews have led to changes in the RRA.<br>Powerful tool for tackling racial discrimination, promoting equal opportunities and good race relations. |
| <b>Formal investigations and non-discrimination notices (ss48-52 and 58-62)</b>  | Formal investigations policy and manual     | F<br>Current                 | Internal and external                   | A, B, C                                   | 3   | High           | -                  | 2005/6                | All  |  |
| <b>Enforcement proceedings regarding instructions and pressure to discriminate and unlawful advertisements (s63)</b>   | s2<br>9-31 Enforcement policy and procedure | Current                      | Internal and external                   | A, B, C                                   | 3   | High           | -                  | 2005/6                | All  | Describes the methods and approaches the CRE will adopt to ensure compliance with these provisions of the RRA.   |
| <b>Eliminating unlawful racial discrimination and harassment and promoting equal opportunities and good race relations (s43)</b>   | Legal follow-up manual                      | Current                      | Internal                                | A, B, C                                   | 3   | Medium         | -                  | 2006/7                | All  | Process for checking on implementation of employment tribunal recommendations.   |
| <b>Offering advice and assistance (s66)</b>  | s66 Assistance policy and procedure         | Current                      | Internal and external                   | A, B, C                                   | 3   | High           | -                  | 2005/6                | All  | Main function in eliminating racial discrimination.  |
| <b>Serving compliance notices (s71D)</b>   | Compliance notices                          | Current                      | External                                | A, B, C                                   | 3   | High           | -                  | 2005/6                | All  | Power to enforce compliance with the specific duties.  |

**Appendix 2 Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA   | Policies and practices       | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |                | Scheduled for REIA | Scheduled for review | Racial groups of policy recipients<br><small>EM = Ethnic Minority</small> | Evidence justifying priority level   |
|--|------------------------------|------------------------------|---|---|---|----------------|--------------------|----------------------|---|--|
|  |                              |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | Priority Level |                    |                      |   |  |
| The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br>Relevance is linked to initial or full REIA |                              |                              |   |   |   |                |                    |                      |   |  |
| <b>Legal services: Functions of the Legal and Enforcement Directorate, and other CRE directorates (continued)</b>  |                              |                              |   |   |   |                |                    |                      |   |  |
| Arrangements for discharge of business (sch1, s13)   | Memorandum of understanding  | Current                      | Internal                                | A, B, C                                   | 1   | Low            | -                  | 2007/8               | N/A   | Agreement between Home Office and CRE on management control.   |
|  | Standing orders for CRE      | Current                      | Internal                                | A, B, C                                   | 3   | Low            | -                  | 2007/8               | N/A   | Terms of operation for CRE and its committees.   |
| <b>Policy and public sector: Making sure racial equality is central to the delivery of public services</b>   |                              |                              |   |   |   |                |                    |                      |   |  |
| Eliminating unlawful racial discrimination and harassment and promoting equal opportunities and good race relations (s43)  | Public sector strategy       | Proposed                     | External                                | A, B, C                                   | 3   | High           | 2005/6             | 2007/8               | All   | The strategy will ensure that race equality is mainstreamed across the public sector.                                |
|  | Public sector operating plan | Proposed                     | Internal and external                   | A, B, C                                   | 3   | High           | 2005/6             | 2007/8               | All   | Strategy for monitoring the extent and nature of compliance by public authorities in meeting the race equality duty. |
|  | Migration strategy           | Proposed                     | External                                | A, B, C                                   | 3   | High           | 2005/6             | 2007/8               | All   | Strategy to tackle any negative effects of immigration policies and rules on race relations.                         |
|  | Guide to good race relations | Proposed                     | External                                | A, B, C                                   | 3   | High           | 2005/6             | 2007/8               | All   | Will help public authorities meet the general duty.  |

**Appendix 2** Results of the assessment of statutory functions and related policies for relevance to the general duty

| Functions: statutory powers and duties under the RRA  | Policies and practices                 | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |   | Scheduled for REIA | Scheduled for review | Racial groups of policy recipients<br><small>EM = Ethnic Minority</small> | Evidence justifying priority level   |
|---|--|------------------------------|---|---|---|---|--------------------|----------------------|---|--|
|   |  |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | 0 = none<br>1 = a little<br>2 = some<br>3 = substantial |                    |                      |   |  |
| <p>The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br/>                     Relevance is linked to initial or full REIA</p> |  |                              |   |   |   |   |                    |                      |   |  |
| <p><b>Policy and public sector: Making sure racial equality is central to the delivery of public services (continued)</b></p>   |  |                              |   |   |   |   |                    |                      |   |  |
| Issuing codes of practice   | Housing code of practice               | Proposed                     | External                                | A, B, C                                   | 3   | High  | 2005/6             | 2007/8               | All   | Changes in legislation, especially RRA, require revised statutory guidance on good practice in the rented and non-rented sectors.  |
| <p><b>Countries, Regions and Communities (CRC): Coordinates and funds local work across the English regions, Scotland and Wales</b></p>   |  |                              |   |   |   |   |                    |                      |   |  |
| Eliminating unlawful racial discrimination and harassment and promoting equal opportunities and good race relations (s43)   | Getting Results: grant aid allocations | Current                      | External                                | A, B, C                                   | 3   | High  | Annually           | Annually             | All   | Framework for funding local race equality work under s44 RRA - scope for disproportionate allocation of funds and differential impact on groups as a result. Failure to allocate funds according to local race equality needs. |

**Appendix 2**

**Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA  | Policies and practices      | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |   | Scheduled for REIA | Scheduled for review | Racial groups of policy recipients<br><br>EM = Ethnic Minority | Evidence justifying priority level   |
|---|-----------------------------|------------------------------|---|---|---|---|--------------------|----------------------|--|--|
|   |                             |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | 0 = none<br>1 = a little<br>2 = some<br>3 = substantial |                    |                      |  |  |
| <p>The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br/>                     Relevance is linked to initial or full REIA</p> |                             |                              |   |   |   |   |                    |                      |  |  |
| <p><b>Countries, Regions and Communities (CRC): Coordinates and funds local work across the English regions, Scotland and Wales (continued)</b></p>   |                             |                              |   |   |   |   |                    |                      |  |  |
| Eliminating unlawful racial discrimination and harassment and promoting equal opportunities and good race relations (s43)   | Sporting Equals             | Current                      | External                                | A, B, C                                   | 3   | High  | Annually           | Annually             | All  | £2.7 million project to promote good race relations. Will provide new evidence on how sport can be used to integrate asylum seekers and other new migrants into British society. Research indicates that failure to do this could lead to community tensions, including growth in far right activity and the number of racist attacks. |
|   |                             |                              |   |   |   |   |                    |                      |  | Focuses on the needs of local communities where signs of racial tension, alienation or polarisation are apparent.  |
| Eliminating unlawful racial discrimination and promoting equal opportunities and good race relations (s43)  | Safe Communities Initiative | Current                      | External                                | A, B, C                                   | 3   | High  | Annually           | Annually             | All  | Focuses on the needs of local communities where signs of racial tension, alienation or polarisation are apparent.  |



| Functions: statutory powers and duties under the RRA   | Policies and practices        | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |   | Scheduled for REIA | Scheduled for review | Racial groups of policy recipients<br>EM = Ethnic Minority | Evidence justifying priority level   |
|--|-------------------------------|------------------------------|---|---|---|---|--------------------|----------------------|--|--|
|  |                               |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | 0 = none<br>1 = a little<br>2 = some<br>3 = substantial |                    |                      |  |  |
| The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br>Relevance is linked to initial or full REIA |                               |                              |   |   |   |   |                    |                      |  |  |
| <b>Countries, Regions and Communities (CRC): Coordinates and funds local work across the English regions, Scotland and Wales (continued)</b>   |                               |                              |   |   |   |   |                    |                      |  |  |
| Delivering services in the English regions, Scotland & Wales   | Regional strategy             | Current                      | External                                | A, B, C                                   | 3   | High  | 2005/6             | 2007/8               | All  | A strategy for engaging with local race equality needs, for example by building capacity in the voluntary and community sectors to deliver local race equality services.   |
| <b>Private sector: Responsible for promoting racial equality in the provision of goods and services, and employment opportunities, in the private sector</b>   |                               |                              |   |   |   |   |                    |                      |  |  |
| Eliminating unlawful racial discrimination and promoting equal opportunities and good race relations (s43)   | Private sector strategy       | Current                      | External                                | A, B, C                                   | 3   | High  | 2005/6             | 2006/7               | All  | Will promote racial equality in the private sector.  |
|  | Private sector operating plan | Current                      | Internal and External                   | A, B, C                                   | 3   | High  | 2005/6             | 2006/7               | All  | Strategy for promoting race equality in the private sector, particularly in respect of employment and the provision of goods and services. This includes strategies for monitoring the selection, recruitment, retention and promotion of ethnic minority employees in the private sector. |

**Appendix 2 Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA  | Policies and practices                         | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |                | Scheduled for REIA | Schedule d for review | Racial groups of policy recipients<br><small>EM = Ethnic Minority</small> | Evidence justifying priority level   |
|---|--|------------------------------|---|---|---|----------------|--------------------|-----------------------|---|--|
|   |  |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | Priority Level |                    |                       |   |  |
| <p>The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br/>                     Relevance is linked to initial or full REIA</p> |  |                              |   |   |   |                |                    |                       |   |  |
| <b>Private sector: Responsible for promoting racial equality in the provision of goods and services, and employment opportunities, in the private sector (continued)</b>  |  |                              |   |   |   |                |                    |                       |   |  |
| Eliminating unlawful racial discrimination and promoting equal opportunities and good race relations (s43)  | Employment code of practice                    | Current                      | External                                | A, B, C                                   | 3   | High           | 2006/7             | -                     | All   | Changes in legislation, especially RRA (A), require revised statutory guidance on good practice in the field of employment; also Cabinet Office recommendation     |
|   | Racial equality and the smaller business guide | Current                      | External                                | A, B, C                                   | 2   | Medium         | 2006/7             | -                     | All   | Seeks to provide guidance on the elimination of racial discrimination and the promotion of racial equality in SMEs where approximately 80% of employees are based. |
|   | TUC / CRE memorandum of understanding          | Current                      | External                                | A, B, C                                   | 3   | High           | 2006/7             | -                     | All   | An agreement for action with the TUC. This will enable both organisations to work together to promote race equality.   |
|   | Equal Opportunities is your Business Too       | Current                      | External                                | A, B, C                                   | 2   | Medium         | 2006/7             | -                     | All   | A short guide to equality and anti-discrimination law for the private sector.  |

**Appendix 2 Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA  | Policies and practices                | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |                | Scheduled for REIA | Schedule d for review | Racial groups of policy recipients<br><small>EM = Ethnic Minority</small> | Evidence justifying priority level   |
|---|---------------------------------------|------------------------------|---|---|---|----------------|--------------------|-----------------------|---|--|
|   |                                       |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | Priority Level |                    |                       |   |  |
| <p>The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br/>                     Relevance is linked to initial or full REIA</p> |                                       |                              |   |   |   |                |                    |                       |   |  |
| <b>Private sector: Responsible for promoting racial equality in the provision of goods and services, and employment opportunities, in the private sector (continued)</b>  |                                       |                              |   |   |   |                |                    |                       |   |  |
|   | The football action plan              | Current                      | External                                | A, B, C                                   | 3   | High           | 2005/6             | 2007/8                | All   | Implementation and delivery of the action plan now agreed by leaders in football to eliminate racial discrimination and provide equality of opportunity at all levels of the game. |
| <b>Finance and Services: Management of the CRE's financial services</b>   |                                       |                              |   |   |   |                |                    |                       |   |  |
| Arrangements for discharge of business (sch1, s13)  | IT policy                             | Proposed                     | Internal and external                   | A, B                                      | 1   | Low            | 2005/6             | -                     | All   | Not applicable   |
|   | Budgetary and financial procedures    | Current                      | Internal                                | -   | 1   | Low            | -                  | 2007/8                | All   | Not applicable   |
|   | Accommodation and management services | Current                      | Internal                                | -   | 1   | Low            | -                  | 2007/8                | All   | Not applicable   |
|   | Procurement policy and procedure      | Proposed                     | Internal and External                   | A,B,C                                     | 3   | High           | 2005/6             | 2007/8                | All   | Provision of goods and services by external contractors.   |
| <b>Human Resources and Organisational Development: Employee relations and development</b>   |                                       |                              |   |   |   |                |                    |                       |   |  |
| Employment of staff (sch1, s8)  | Advances of salary procedure          | Current                      | Internal                                | -   | 1   | Low            | -                  | 2007/08               | All   | Possible impact on application of process.   |
|   | Appraisal policy                      | Current                      | Internal                                | A, B, C                                   | 3   | High           | -                  | 2005/06               | All   | Scope for differential treatment on application of process.  |
|   | Capability procedure                  | Current                      | Internal                                | A, B, C                                   | 3   | High           | -                  | 2006/07               | All   | Scope for differential treatment on application of process.  |

**Appendix 2 Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA  | Policies and practices                         | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |   | Scheduled for REIA | Schedule d for review | Racial groups of policy recipients<br><small>EM = Ethnic Minority</small> | Evidence justifying priority level  |
|---|--|------------------------------|---|---|---|---|--------------------|-----------------------|---|---|
|   |  |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | Priority Level<br><small>0 = none<br/>1 = a little<br/>2 = some<br/>3 = substantial</small> |                    |                       |   |   |
| <p>The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br/>                     Relevance is linked to initial or full REIA</p> |  |                              |   |   |   |   |                    |                       |   |   |
| <b>Human Resources and Organisational Development: Employee relations and development (continued)</b>   |  |                              |   |   |   |   |                    |                       |   |   |
| <b>Employment of staff (sch1, s8)</b>   | Dignity at work/bullying and harassment policy | Proposed                     | Internal                                | A, B, C                                   | 3   | High  | 2005/6             | 2007/8                | All   | Scope for differential treatment on application of process.                               |
|   | Disciplinary procedures                        | Current                      | Internal                                | A, B, C                                   | 3   | High  | -                  | 2006/7                | All   | Scope for differential treatment on application of process.                               |
|   | Equal opportunity and diversity policy         | Current                      | Internal                                | A, B, C                                   | 3   | High  | 2005/6             | 2007/8                | All   | Sets out the CRE's guiding principles for equality in the workplace.                      |
|   | Exit procedure policy                          | Current                      | Internal                                | A, B, C                                   | 1   | Low   | -                  | 2007/8                | All   | No evidence. However, monitoring data may reveal inconsistency in application of process. |
|   | Flexible working arrangements policy           | Current                      | Internal                                | A, B, C                                   | 2   | Medium  | -                  | 2006/7                | All   | Little/no evidence; yet scope for differential treatment.                                 |
|   | Gifts and hospitality policy                   | Current                      | Internal                                | -   | 1   | Low   | -                  | 2007/8                | All   | No evidence.  |
|   | Grievance procedure                            | Current                      | Internal                                | A, B, C                                   | 3   | High  | -                  | 2005/6                | All   | Scope for differential treatment on application of process.                               |
|   | Health and safety policy and procedures        | Current                      | Internal                                | -   | 1   | Low   | -                  | 2007/8                | All   | Little/no evidence of adverse impact on duty.   |
|   | Induction policy                               | Current                      | Internal                                | A, B, C                                   | 1   | Low   | -                  | 2007/8                | All   | Little/no evidence of adverse impact on duty.   |

**Appendix 2 Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA   | Policies and practices                         | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |   | Scheduled for REIA | Schedule d for review | Racial groups of policy recipients<br><small>EM = Ethnic Minority</small> | Evidence justifying priority level   |
|--|--|------------------------------|---|---|---|---|--------------------|-----------------------|---|--|
|  |  |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | 0 = none<br>1 = a little<br>2 = some<br>3 = substantial |                    |                       |   |  |
| The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br>Relevance is linked to initial or full REIA |  |                              |   |   |   |   |                    |                       |   |  |
| <b>Human Resources and Organisational Development Employee relations and development (continued)</b>   |  |                              |   |   |   |   |                    |                       |   |  |
| <b>Employment of staff (sch1, s8)</b>  | Joint Negotiating Committee (JNC) constitution | Current                      | Internal                                | A, B, C                                   | 1   | Low   | -                  | 2007/8                | All   | Little/no evidence of adverse impact on duty.  |
|  | Leave allowances and arrangements              | Current                      | Internal                                | A, B, C                                   | 1   | Low   | -                  | 2007/8                | All   | Little/no evidence of adverse impact on duty.  |
|  | Model contracts of employment                  | Current                      | Internal                                | -   | 1   | Low   | -                  | 2007/8                | All   | Little/no evidence of adverse impact on duty.  |
|  | Pay and conditions policy                      | Current                      | Internal                                | A, B, C                                   | 2   | Medium  | -                  | 2007/8                | All   | Scope for differential treatment on application of process.  |
|  | Pensions policy and procedure                  | Current                      | Internal                                | -   | 1   | Low   | -                  | 2007/8                | All   | Little/no evidence of adverse impact on duty   |
|  | Political activity policy                      | Current                      | Internal                                | -   | 1   | Low   | -                  | 2007/8                | All   | Little/no evidence of adverse impact on duty.  |
|  | Probation policy                               | Current                      | Internal                                | A, B, C                                   | 2   | Medium  | -                  | 2005/6                | All   | No evidence from previous monitoring data, yet scope for differential treatment on application of process. |
|  | Public interest disclosure policy              | Current                      | Internal                                | -   | 1   | Low   | -                  | 2007/8                | All   | Little/no evidence of adverse impact on duty.  |
|  | Recruitment and selection policy               | Current                      | Internal                                | A, B, C                                   | 3   | High  | -                  | 2005/6                | All   | The priority level is reflective of this function covering a statutory duty under the RRA (A).             |

**Appendix 2 Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA  | Policies and practices                               | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |   | Scheduled for REIA | Schedule d for review | Racial groups of policy recipients<br><small>EM = Ethnic Minority</small> | Evidence justifying priority level  |
|---|--|------------------------------|---|---|---|---|--------------------|-----------------------|---|---|
|   |  |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | 0 = none<br>1 = a little<br>2 = some<br>3 = substantial |                    |                       |   |   |
| <p>The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity, and C: Promote good relations between people of different racial groups<br/>                     Relevance is linked to initial or full REIA</p> |  |                              |   |   |   |   |                    |                       |   |   |
| <b>Human Resources and Organisational Development Employee relations and development (continued)</b>  |  |                              |   |   |   |   |                    |                       |   |   |
| <b>Employment of staff (sch1, s8)</b>   | Recruitment and selection policy (continued)         | Current                      | Internal                                | A, B, C                                   | 3   | High  | -                  | 2005/6                | All   | Monitoring data reveals lower levels of applications from certain racial groups - Annual Report 2003. |
|   |  | Current                      | Internal                                | A, B, C                                   | 3   | High  | -                  | 2005/6                | All   | Under-representation from certain ethnic groups - Annual Report 2003.                                 |
|   | Reimbursement of expenses policy                     | Current                      | Internal                                | -   | 1   | Low   | -                  | 2005/6                | All   | Little/no evidence of adverse impact on duty  |
|   | Staff transfers and secondment activity              | Current                      | Internal                                | A,B,C                                     | 3   | High  | -                  | 2007/8                | All   | Scope for differential treatment on application of process  |
|   | Training and development policy and ACTION programme | Current                      | Internal                                | A, B, C                                   | 3   | High  | -                  | 2005/6                | All   | The priority level is reflective of this function covering a statutory duty under the RRA (A).        |
| <b>Government and Corporate Relations: Executive function covering European and International Affairs, Government relations and services for CRE Commissioners</b>  |  |                              |   |   |   |   |                    |                       |   |   |
| <b>Eliminating unlawful racial discrimination and harassment and promoting equal opportunities and good race relations (s43)</b>  | Strategic plan                                       | Current                      | Internal and external                   | A,B,C                                     | 3   | High  | 2005/6             | 2006/7                | All   | Details the CRE's strategic priorities and directly linked to RES objectives.                         |
|   |  | Current                      | Internal                                | A, B, C                                   | 1   | Low   | -                  | 2007/8                | All   | Training of CRE commissioners on their duties.  |

**Appendix 2**

**Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA  | Policies and practices         | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |   | Scheduled for REIA | Scheduled for review | Racial groups of policy recipients<br><small>EM = Ethnic Minority</small> | Evidence justifying priority level  |
|---|--------------------------------|------------------------------|---|---|---|---|--------------------|----------------------|---|---|
|   |                                |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | 0 = none<br>1 = a little<br>2 = some<br>3 = substantial |                    |                      |   |   |
| <p>The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br/>                     Relevance is linked to initial or full REIA</p> |                                |                              |   |   |   |   |                    |                      |   |   |
| <p><b>Government and Corporate Relations: Executive function covering European and International Affairs, Government relations and services for CRE Commissioners (continued)</b></p>   |                                |                              |   |   |   |   |                    |                      |   |   |
| <p><b>Arrangements for discharge of business (sch1, s13)</b></p>  | Commissioner's code of conduct | Current                      | Internal                                | -   | 1   | Low   | -                  | 2007/8               | N/A   | Framework for CRE commissioners' conduct.   |
|   | European relations             | Proposed                     | External                                | A, B, C                                   | 3   | High  | 2005/6             | 2006/7               | All   | Details the CRE's strategic approach to European and international work.  |
|   | Commission shadowing scheme    | Current                      | External                                | A,B,C                                     | 3   | High  | 2005/6             | 2006/7               | EM  | CRE/Operation Black Vote initiative aimed at equipping participants with the skills, knowledge and confidence that will allow them to actively promote the importance of ethnic minority representation in local, regional and national public bodies and to go on to apply for public appointment. |

**Appendix 2 Results of the assessment of statutory functions and related policies for relevance to the general duty**

| Functions: statutory powers and duties under the RRA  | Policies and practices | Status of policy or practice | Internal or external policy recipients? | Relevance                                 |   |   | Scheduled for REIA | Schedule d for review | Racial groups of policy recipients<br><small>EM = Ethnic Minority</small> | Evidence justifying priority level  |
|---|------------------------|------------------------------|---|---|---|---|--------------------|-----------------------|---|---|
|   |                        |                              |   | Link to the three aspects of general duty | Potential to affect racial groups differently | 0 = none<br>1 = a little<br>2 = some<br>3 = substantial |                    |                       |   |   |
| <p>The Duty: A: Eliminate unlawful racial discrimination B: Promote equality of opportunity; and C: Promote good relations between people of different racial groups<br/>                     Relevance is linked to initial or full REIA</p> |                        |                              |   |   |   |   |                    |                       |   |   |
| <b>Corporate Management Team: Management team, which oversees the day-to-day running of the CRE and executes the decisions of its committees</b>  |                        |                              |   |   |   |   |                    |                       |   |   |
| Eliminating unlawful racial discrimination and harassment and promoting equal opportunities and good race relations (s43)   | Race Equality Scheme   | Current                      | Internal and external                   | A, B, C                                   | 3   | High  | 2005/6             | 2006/7                | All   | Sets out the CRE's arrangements for meeting for the statutory general duty under section 71 (1) of the RRA and, in particular, articles 2 (2) and 2 (3) of the RRA (Statutory Duties) Order 2001. |
|   | Race Equality Scheme   | Current                      | Internal and external                   | A, B, C                                   | 3   | High  | 2005/6             | 2006/7                | All   | Sets out the CRE's arrangements for meeting for the statutory general duty under section 71 (1) of the RRA and, in particular, articles 2 (2) and 2 (3) of the RRA (Statutory Duties) Order 2001. |
|   | Annual Report          | Current                      | External                                | A,B,C                                     | 1   | Low   | -                  | Annually              | All   | This is a statutory requirement; a report must be tabled in parliament.   |
|   | Business plan          | Current                      | External                                | A, B, C                                   | 3   | High  | 2005/6             | 2006/7                | All   | The plan will set out the CRE's work plan annually.   |






**Appendix 3: The 2005-08 RES action plan**

Appendix 3: Action Plan

| Task / activity  | Task completion date       | Baseline data          | Evidence of achievement (performance indicators)                   | Progress | Lead responsibility                 | Supporting resources                | Risks         |  | Intended outcomes   |
|--|----------------------------|------------------------|--|----------|-------------------------------------|-------------------------------------|---------------|--|---|
|  |                            |                        |  |          |                                     |                                     | Level         | Factor   |   |
| <b>Objective 1: Put the RES into practice</b>                              |                            |                        |  |          |                                     |                                     |               |  |   |
| Appoint CMT member as diversity champion, to oversee implementation of RES | May-05                     | N/A                    | Recorded in CMT minutes  |          | CMT                                 | Quality and equality team           | Major<br>●    | Failure to mainstream function   | RES central to all areas of CRE activities  |
|  | Apr-06                     |                        | Staff informed of appointment - as shown by Annual Employee Survey |          | Quality and equality steering group | Quality and equality steering group | Moderate<br>● | Lack of transparency and accountability                                    | Raise profile of the RES<br>100% of employees aware of Diversity Champion by April 2006<br>Diversity and racial equality regular item on CMT agenda<br>Increased accountability |
| Add racial equality targets to directorate business plans                  | Sept and Dec 2005/06/07/08 | Business plans 2005-08 | Agreed business plans are in place and contain RES targets         |          | CMT                                 | Planning and performance            | Major<br>●    | Failure to integrate racial equality into the mainstream of CRE activities | RES central to all areas of CRE activities  |
|  |                            |                        | Audit of sample business plans                                     |          | Directors                           | Planning and performance            |               | Unsuccessful implementation of RES   | Bi-annual monitoring of business plans against equality targets<br>Increased accountability and ownership   |
| Add racial equality targets to departmental service plans                  | Apr-05                     | N/A                    | Agreed service plans in place and contain RES targets              |          | Directors                           | Planning and performance            | Major<br>●    | Failure to integrate racial equality into the mainstream of CRE activities | RES central to all areas of CRE activities  |
|  |                            |                        |  |          |                                     |                                     |               | Unsuccessful implementation of RES   | Increased accountability and ownership  |

Appendix 3: Action Plan

| Task / activity  | Task completion date   | Baseline data          | Evidence of achievement (performance indicators)   | Progress | Lead responsibility              | Supporting resources              | Risks   |  | Intended outcomes  |
|--|--|------------------------|--|----------|----------------------------------|-----------------------------------|---|--|--|
|  |  |                        |  |          |                                  |                                   | Level   | Factor   |  |
| Quarterly updates on progress of business plans to CMT and relevant committee(s) | March 2006/07/08<br>June 2006/07/08<br>Sept 2006/07/08<br>Dec 2006/07/08 | Business plans 2005-08 | Reports tabled at CMT and relevant committee(s)  |          | Directors                        | N/A                               | Unable to monitor progress if updates not completed   |  | Quarterly monitoring of business plans against equality targets  |
| Add racial equality targets to employees' individual work plans                  | May-05   | N/A                    | Approved work plan includes racial equality targets  |          | Heads of service<br><br>Managers | Human Resources                   | Failure to integrate and mainstream racial equality<br>Unsuccessful implementation of RES             | Major   | RES central to all areas of CRE activities<br>Appraisal performance linked to meeting equality targets<br>Increased accountability and ownership<br>Senior officer commitment acknowledged |
| Agree roles and responsibilities of quality and equality steering group members  | May-05<br><br>May-05   | N/A<br><br>N/A         | CMT and chief executive commitment to endorse and provide resources minuted<br><br>Extra responsibilities incorporated into quality and equality steering group member job plans |          | CMT<br><br>Directors             | Directors<br><br>Heads of service | Perceived lack of senior officer commitment<br><br>Failure would affect our ability to mainstream RES | Minor <br><br>Major  | RES central to all areas of CRE activities<br>All CRE employees participate in RES implementation  |

Appendix 3: Action Plan

| Task / activity  | Task completion date | Baseline data   | Evidence of achievement (performance indicators)                   | Progress | Lead responsibility       | Supporting resources                | Risks         |   | Intended outcomes   |
|--|----------------------|---|--|----------|---------------------------|-------------------------------------|---------------|---|---|
|  |                      |   |  |          |                           |                                     | Level         | Factor  |   |
| Quarterly updates on progress sent to CMT and Finance and Modernisation Committee by quality and equality team | March 2006/07/08     | Employment monitoring data  | Completed quarterly reports  |          | Quality and equality team | Quality and equality steering group | Moderate<br>● | Unable to monitor progress if updates not completed | Accurate and consistent monitoring data   |
|  | June 2006/07/08      | Completed Impact Assessments  |  |          |                           |                                     |               |   | Meet Freedom of Information Act (FOI) obligations<br>Identify patterns and trends |
|  | Sept 2006/07/08      |   |  |          |                           |                                     |               |   |   |
| Publish quarterly updates and amended RES action plan on intranet and internet site                            | Dec 2006/07/08       |   |  |          |                           |                                     |               |   |   |
|  | March 2006/07/08     | N/A   | Reviews and updated Action Plan published on intranet and internet |          | Quality and equality team |                                     | Moderate<br>● | Failure to comply with duty to publish information  | Increased transparency and compliance with FOI Act                                |
|  | June 2006/07/08      |   |  |          |                           |                                     |               |   |   |
| Annual reviews of 2005-08 RES  | Sept 2006/07/08      |   |  |          |                           |                                     |               |   |   |
|  | Dec 2006/07/08       |   |  |          |                           |                                     |               |   |   |
|  | May-08               | RES 2002-05<br>RES 2005-08<br>Quarterly progress reports<br>Annual progress reports | Annual reports on progress and publication of next RES             |          | Quality and equality team | CMT, and quality and equality team  | Major<br>●    | Failure to comply with statutory duty               | Compliance with RRA<br>Outcomes communicated                                      |





**Objective 2: Identify relevant functions and policies**

|   |        |                               |   |                        |                           |                                     |            |                                       |                     |
|---|--------|-------------------------------|---|------------------------|---------------------------|-------------------------------------|------------|---------------------------------------|---------------------|
| Identify list of functions and policies for action over three years, by relevance to race equality duty | Feb-05 | Appendix 3 and 4, RES 2002-05 | Complete and fully prioritised list attached in RES 2005-08 | Completed (March 2005) | Quality and equality team | Quality and equality steering group | Major<br>● | Failure to comply with statutory duty | Compliance with RRA |
| Identify list of functions and policies for action over three years, by relevance to race equality duty | Feb-08 | Appendix 3 and 4, RES 2002-05 | Complete and fully prioritised list attached in RES 2005-08 |                        | Quality and equality team | Quality and equality steering group | Major<br>● | Failure to comply with statutory duty | Compliance with RRA |

Appendix 3: Action Plan

| Task / activity   | Task completion date           | Baseline data                      | Evidence of achievement (performance indicators)                       | Progress | Lead responsibility       | Supporting resources   | Risks         |   | Intended outcomes   |
|---|--------------------------------|------------------------------------|--|----------|---------------------------|--|---------------|---|---|
|   |                                |                                    |  |          |                           |  | Level         | Factor  |   |
| <b>Objective 3: Assess and consult on the likely impact of proposed policies</b>        |                                |                                    |  |          |                           |  |               |   |   |
| Assess and consult on impact of new and proposed policies rated as HIGH in Appendix 2   | Mar-06                         | Appendix 2 of RES 2005-08          | Assessments conducted<br>Reports published<br>Feedback from consultees |          | Directors                 | Policy writers<br>Quality and equality team                              | Major<br>●    | Failure to comply with statutory duty                         | Compliance with RRA<br>Lessons fed back into policy development<br>Ensure policies are non-discriminatory |
| Assess and consult on impact of new and proposed policies rated as MEDIUM in Appendix 2 | Mar-06                         | Appendix 2 of RES 2005-08          | Assessments conducted<br>Reports published<br>Feedback from consultees |          | Directors                 | Policy writers<br>Quality and equality team                              | Major<br>●    | Failure to comply with statutory duty                         | Compliance with RRA<br>Lessons fed back into policy development<br>Ensure policies are non-discriminatory |
| Assess and consult on impact of new and proposed policies rated as LOW in Appendix 2    | Mar-06                         | Appendix 2 of RES 2005-08          | Assessments conducted<br>Reports published<br>Feedback from consultees |          | Directors                 | Policy writers<br>Quality and equality team                              | Major<br>●    | Failure to comply with statutory duty                         | Compliance with RRA<br>Lessons fed back into policy development<br>Ensure policies are non-discriminatory |
| Review REIA internal guidance   | May-05                         | CRE public authority REIA guidance | Guidance approved by CMT<br>Compliant internal REIA process in place   |          | Quality and equality team | Quality and equality steering group<br>Race equality duty steering group | Major<br>●    | Internal REIA process inconsistent with CRE external guidance | Ensure policies are non-discriminatory<br>Compliant internal REIA guidance in place                       |
| Update consultation database  | Ongoing throughout life of RES | Existing database                  | Updated consultation database on Goldmine                              |          | Communications            | All directorates   | Moderate<br>● | Risk of limiting the relevant groups we consult               | Ensure consultation is targeted to relevant stakeholders<br>Widen stakeholder reference                   |
| Develop consultation evaluation process   | Sep-05                         | Existing database                  | Process agreed by CMT  |          | Policy and public sector  | Communications   | Minor<br>●    | Risk of limiting the relevant groups we consult               | Unsure consultation is targeted to relevant stakeholders  |
| Implement evaluation process  | Dec-05                         | N/A                                | System in place  |          | Policy and public sector  | Communications   | Minor<br>●    | Risk of limiting the relevant groups we consult               | Widen stakeholder reference   |

Appendix 3: Action Plan

| Task / activity  | Task completion date | Baseline data                | Evidence of achievement (performance indicators)   | Progress | Lead responsibility        | Supporting resources | Risks   |  | Intended outcomes   |
|--|----------------------|------------------------------|--|----------|----------------------------|----------------------|---|--|---|
|  |                      |                              |  |          |                            |                      | Level   | Factor   |   |
| <b>Objective 4: Monitor CRE policies for adverse impact</b>      |                      |                              |  |          |                            |                      |   |  |   |
| Review all existing policies rated as HIGH in Appendix 2         | Mar-06               | Results of reviews conducted | Reports submitted to CMT and relevant internal committee   |          | Directors                  | Delegated officers   | Major<br>    | Failure to comply with statutory duty<br>Damage to reputation<br>Failure to comply with CRE agreed IA procedures | Lessons fed back into policy development<br>Identification of adverse impact<br>Improved policy outcomes/benefits for policy recipient<br>Compliance with RRA<br>Take remedial action |
| Review all existing policies rated as MEDIUM in Appendix 2       | Mar-07               | Results of reviews conducted | Reports submitted to CMT and relevant internal committee   |          | Directors                  | Delegated officers   | Major<br>    | Failure to comply with statutory duty  | Lessons fed back into policy development<br>Identification of adverse impact<br>Improved policy outcomes/benefits for policy recipient<br>Compliance with RRA<br>Take remedial action |
| Review all existing policies rated as LOW in Appendix 2          | Mar-08               | Results of reviews conducted | Reports submitted to CMT and relevant internal committee<br>Feedback from external stakeholders<br>Changes in central government legislation |          | Directors                  | Delegated officers   | Major<br>    | Failure to comply with statutory duty  | Lessons fed back into policy development<br>Identification of adverse impact<br>Improved policy outcomes/benefits for policy recipient<br>Compliance with RRA<br>Take remedial action |
| Conduct perception survey of CRE among partners and stakeholders | Sep-05<br>Sep-06     | Previous customer surveys    | Completed survey   |          | Organisational development | Q&E Team             | Moderate<br> |  | Identify correlation between shifts in perception of race equality and adverse impact   |

Appendix 3: Action Plan

| Task / activity | Task completion date | Baseline data | Evidence of achievement (performance indicators) | Progress | Lead responsibility | Supporting resources | Risks |        | Intended outcomes |
|-----------------|----------------------|---------------|--|----------|---------------------|----------------------|-------|--------|-------------------|
|                 |                      |               |  |          |                     |                      | Level | Factor |                   |

**Objective 5: Publish the results of assessments, consultations and monitoring**

|   |                                   |                                     |   |  |                            |   |             |                                       |   |
|---|-----------------------------------|-------------------------------------|---|--|----------------------------|---|-------------|---------------------------------------|---|
| <b>Publish summary reports</b>            | June 2006/07/08<br>Dec 2006/07/08 | N/A                                 | Reports of impact assessments<br>Consultation findings<br>Assessments and consultations |  | Directors                  | Delegated officers                              | Major<br>●  | Failure to comply with statutory duty | Increased transparency and communication<br>Compliance with RRA                                   |
| <b>Publish employment monitoring data</b> | Dec 2005/06/07/08                 | Previous employment monitoring data | Employment monitoring data published in annual report                                   |  | Organisational Development | Quality and equality team                       | Major<br>●  | Failure to comply with statutory duty | Meet obligations under FOI Act<br>Compliance with RRA   |
| <b>Publish race equality scheme</b>       | May-05                            | N/A                                 | Scheme published  |  | CMT diversity champion     | Delegated officers<br>Quality and equality team | Severe<br>● | Failure to comply with statutory duty | Compliance with RRA<br>Increased transparency and communication<br>Meet obligations under FOI Act |

Appendix 3: Action Plan

| Task / activity | Task completion date | Baseline data | Evidence of achievement (performance indicators) | Progress | Lead responsibility | Supporting resources | Risks |        | Intended outcomes |
|-----------------|----------------------|---------------|--|----------|---------------------|----------------------|-------|--------|-------------------|
|                 |                      |               |  |          |                     |                      | Level | Factor |                   |

**Objective 6: Make information about the CRE information and its services available to the public**

|   |        |   |  |  |                            |                              |               |   |   |
|---|--------|---|--|--|----------------------------|------------------------------|---------------|---|---|
| Conduct customer survey   | Mar-06 | Previous customer surveys   | Feedback surveys   |  | Organisational Development | Quality and equality team    | Major<br>●    | Failure to comply with statutory duty                   | Compliance with RRA   |
| Review the CRE's internet site for accessibility                              | Dec-05 | W3C - Web Content Accessibility Guidelines                            | Audit of site reviews<br>Improved accessibility<br>Increase in web-based queries<br>Increase in 'hits' to CRE site |  | Communications             | Finance and Support Services | Moderate<br>● | CRE services inaccessible to some racial groups         | Increase access for hard-to-reach groups  |
| Review the CRE's customer service standards - <i>Aiming High for Equality</i> | Dec-05 | <i>Aiming High for Equality</i><br><i>Applying Customer Standards</i> | Revised version of <i>Aiming High</i> approved by CMT  |  | Chief executive            | CMT                          | Major<br>●    | CRE services inaccessible to some racial groups         | Low number of service complaints<br>CRE services available to a wider number of customers |
| Develop knowledge management process  | Sep-05 | N/A   | Process agreed by CMT  |  | Organisational Development | Delegated officers           | Major<br>●    | Inability to capture and retain corporate information   | Create system to capture and record information   |
| Implement knowledge management process  | Dec-05 | N/A   | Process successfully implemented by agreed deadline  |  | Organisational Development | Delegated officers           | Major<br>●    | Inability to capture and retain information corporately | All employees have access to information held by the CRE                                  |
| Evaluate knowledge management process   | Dec-06 | N/A   | Weaknesses in the process identified, and remedial action taken  |  | Organisational Development | Delegated officers           | Major<br>●    | Ineffective implementation of process                   | Ensure effective implementation of process  |



Appendix 3: Action Plan

| Task / activity  | Task completion date | Baseline data                             | Evidence of achievement (performance indicators)               | Progress               | Lead responsibility        | Supporting resources  | Risks         |  | Intended outcomes   |
|--|----------------------|---|--|------------------------|----------------------------|---|---------------|--|---|
|  |                      |   |  |                        |                            |   | Level         | Factor   |   |
| <b>Objective 7: Train staff on the duties</b>  |                      |   |  |                        |                            |   |               |  |   |
| Train all staff on RES duties  | Dec-05               | Evaluation results from previous training | 100% attendance<br>Positive feedback from attendees            |                        | Organisational Development | Quality and equality team   | Major<br>●    | Failure to comply with statutory duty                                | Compliance with RRA<br>Better policy development<br>Employees fully aware of the RES and their responsibility to help in implementing it            |
| Deliver specific training courses for policy writers on conducting impact assessments and successful methods of consultation | Dec-05               | REA guidance document                     | All relevant employees trained                                 |                        | Quality and equality team  | Organisational Development<br>Quality and equality steering group | Major<br>●    | Failure to comply with statutory duty                                | Policy writers able to conduct REIA in line with CRE procedures, resulting in better policy making<br>Strategies developed to address any imbalance |
| Train HRM staff on employment duties   | Dec-05               | N/A                                       | All relevant employees trained                                 | Commenced (March 2005) | Quality and equality team  | N/A   | Major<br>●    | Inaccurate and inconsistent data management                          | Accurate and consistent monitoring data   |
| Evaluate training and development strategy   | Dec '05              | Training and development strategy 2005    | Weaknesses in the process identified and remedial action taken |                        | Organisational Development | N/A   | Moderate<br>● | Training needs of organisation not met                               | More efficiency at the CRE  |
| Ensure all new employees are trained on the RES  | Ongoing              | N/A                                       | General duty and specific duties covered by CRE induction      |                        | Quality and equality team  | Quality and equality steering group                               | Major<br>●    | Lack of awareness of statutory duties and roles and responsibilities | New employees fully aware of their responsibilities under the RES   |

Appendix 3: Action Plan

| Task / activity  | Task completion date   | Baseline data            | Evidence of achievement (performance indicators)   | Progress | Lead responsibility        | Supporting resources                | Risks  |                                       | Intended outcomes   |
|--|--|--------------------------|--|----------|----------------------------|-------------------------------------|--|---------------------------------------|---|
|  |  |                          |  |          |                            |                                     | Level  | Factor                                |   |
| <b>Objective 8: Meet the specific duties for employers</b>   |  |                          |  |          |                            |                                     |  |                                       |   |
| <b>Collate employment data relating to:</b><br>Staff in post<br>Applicants for employment<br>Applicants for training<br>Employee profile:<br>Age<br>Ethnicity<br>Disability<br>Religion<br>Sexual orientation<br>Sex<br>Applicants for promotion<br>Training attendee profile<br>Performance appraisals<br>Grievances<br>Disciplinary<br>Leavers | Monthly  | Previous monitoring data | Employment monitoring data collated and submitted to quality and equality team for analysis on a monthly basis |          | Human Resources            | Quality and equality team           | Major <span style="color:red">●</span>       | Failure to comply with statutory duty | Accurate and consistent monitoring data<br><br>Achieve best practice status<br><br>Identify trends and take remedial action, where necessary  |
|  | March 2006/07/08<br>June 2006/07/08<br>Sept 2006/07/08<br>Dec 2006/07/08 | Previous monitoring data | Data analysed and report submitted to CMT on a quarterly basis   |          | Quality and equality team  | Quality and equality steering group | Major <span style="color:red">●</span>       | Failure to comply with statutory duty | Disparate impact identified and strategy devised to remove or reduce it   |
| <b>Provide quarterly reports to CMT</b>  | Quarterly  | Previous reports         | Reports submitted to CMT   |          | Quality and equality team  | Quality and equality steering group | Major <span style="color:red">●</span>       | Failure to comply with statutory duty | Outcomes used to inform future policy development<br>Greater communication and accountability<br>Remedial action taken if any disparate impact identified<br>Results of survey used to inform CRE HR strategies |
|  | Dec-05   | Previous customer survey | Survey conducted<br>Action plan produced   |          | Organisational Development | Quality and equality steering group | Moderate <span style="color:yellow">●</span> | Failure to comply with statutory duty |   |

Appendix 3: Action Plan

| Task / activity   | Task completion date | Baseline data | Evidence of achievement (performance indicators) | Progress | Lead responsibility        | Supporting resources      | Risks      |                                       | Intended outcomes   |
|---|----------------------|---------------|--|----------|----------------------------|---------------------------|------------|---------------------------------------|---|
|   |                      |               |  |          |                            |                           | Level      | Factor                                |   |
| Review, monitor, and take action on the employment functions and policies set for years 1 and 2 | Ongoing              | N/A           | Reviews conducted in a timely manner             |          | Organisational Development | Quality and equality team | Major<br>● | Failure to comply with statutory duty | Results of reviews used to inform future policy development |

## Appendix 4: REIA screening questions

Consider each of the questions in turn. They should help to identify whether the policy has implications for equality of opportunity. In each case, use your best judgment and, if you think there are equality implications, explain briefly why you think so.

- (a) What is the purpose of the proposed policy and who is it intended to affect?

Please give details

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- (b) Is there any evidence, or other reason to believe, that different groups have different needs, experiences, issues and priorities in relation to this particular policy?

Yes       No       Maybe

Please give details

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- (c) Is there any evidence, or other reason to believe that different groups could be affected differently by the proposed policy?

Yes       No       Maybe

Please give details

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- (d) Is there any evidence to suggest that any part of the proposed policy could discriminate unlawfully, directly or indirectly, against people from some racial groups?

Yes       No       Maybe

Please give details

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- (e) Is there an opportunity to promote racial equality more effectively by altering this policy or considering working with others in the wider community?

Yes       No       Maybe

Please give details

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- (f) Have previous policies, research, monitoring data, consultations etc, with relevant groups, organisations or individuals indicated that this particular policy may create problems which are specific to them?

Yes       No

Please give details of data (name of policies, research report, etc)

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- (g) Additional evidence/information (which does not fall into the above categories)

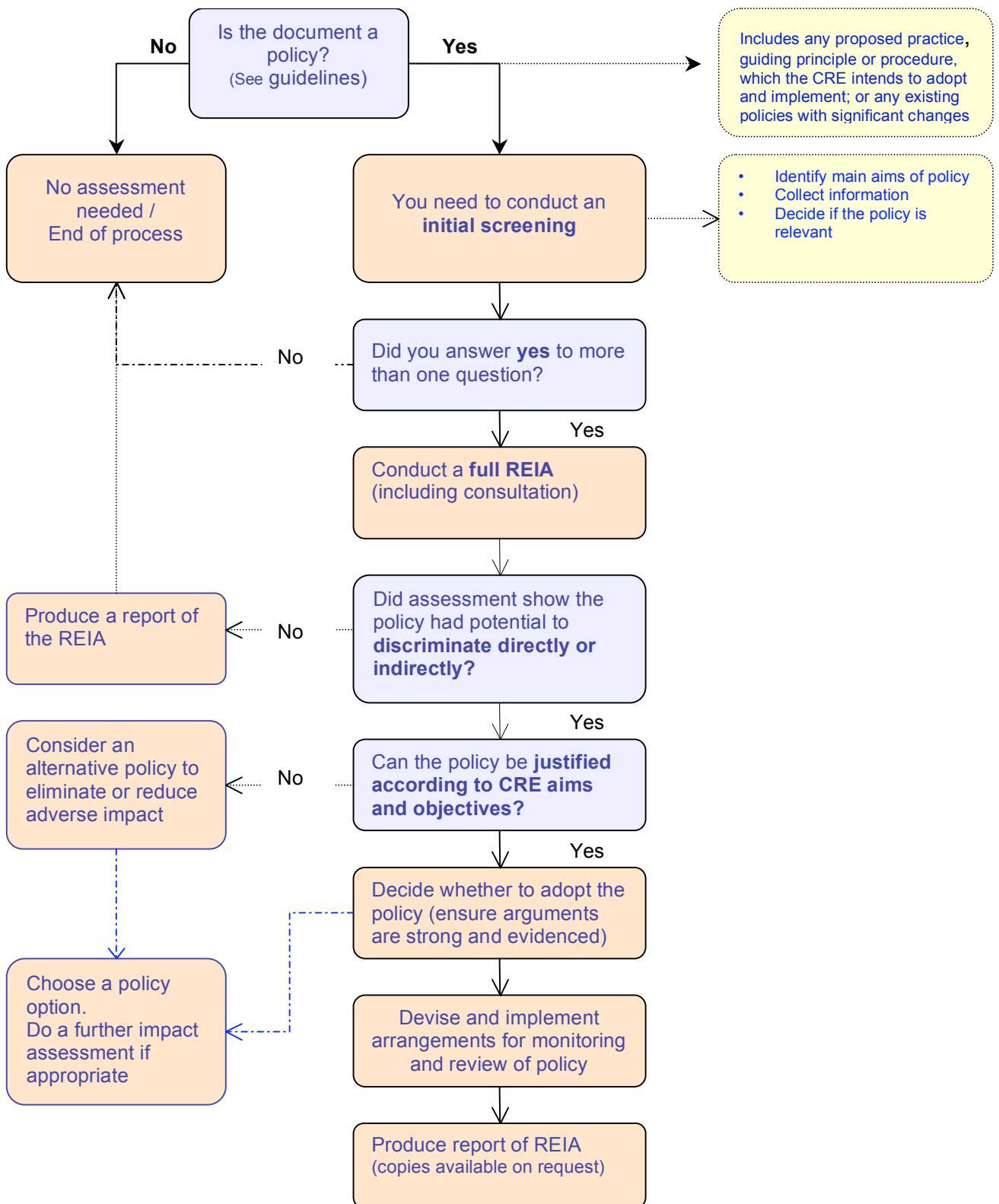
Please give details

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## Appendix 5: The CRE's internal REIA process



**Appendix 6: Applications for assistance, by ethnic group and sex, in 2004**

| <b>ETHNIC ORIGIN</b> | <b>MALE</b> | <b>FEMALE</b> | <b>TOTAL</b> |
|----------------------|-------------|---------------|--------------|
| White                | 35          | 19            | 54           |
| Mixed                | 2           | 1             | 3            |
| Asian                | 127         | 39            | 166          |
| Black                | 140         | 77            | 217          |
| Chinese              | 7           | 4             | 11           |
| Other                | 73          | 32            | 105          |
| <b>Total</b>         | <b>384</b>  | <b>172</b>    | <b>556</b>   |

**NOTE:** The category 'Other' included Gypsies and Jews, which are protected groups under the Race Relations Act. We received 13 applications from Gypsies (eight men and five women), and two applications from Jewish men.

## **Appendix 7: The CRE customer complaints procedure**

### **How to make a complaint**

#### **Stage 1. Informal complaint**

If you are unhappy with any aspect of the service you have received or requested, you should speak or write to the relevant manager or the officer of the section concerned. If you need assistance in obtaining the name of the manager, please speak to any member of staff. The manager will investigate the complaint and will try to resolve the problem as quickly as possible. The manager will keep you informed of how long the investigation is likely to take.

#### **Stage 2. Formal complaint**

If you are unhappy with the outcome of the investigation, you may wish to make a formal complaint. You should use the complaint form (see below) to make a formal complaint. The form should be sent to the head of the executive office at the CRE (the address is given on the form).

Once your complaint form has been received, the head of the executive office will:

- let you know, within three working days, that we have received your complaint;
- tell you who will look into your complaint; and
- tell you when you will receive a reply to your complaint.

You will normally receive a reply to your complaint within eight working days, telling you:

- whether we uphold your complaint;
- what we plan to do about the issues raised in your complaint;
- if we do not agree with your complaint, why not; and
- how you can appeal if you are unhappy with our decision.

If your complaint is particularly complex, this may take longer. We will keep you informed of the reason for any delay and when you can expect a full reply.

#### **Stage 3. Right of appeal**

If you are unhappy with the response you receive, you can ask to have your complaint looked into by the chief executive (the letter you will have received from the head of the executive office will tell you how to do this). You will normally receive a reply from the chief executive within eight working days. As far as the CRE is concerned, the chief executive's decision is final. If you are not happy with this decision, you can ask the parliamentary ombudsman to look into the matter (the chief executive's letter will tell you how to do this).



**Appendix 8: Permanent staff in post at 31 December 2004, by ethnic origin, sex, and grade, in full-time equivalents**

|   | Chief Exec |          | Band A2  |          | Band A1   |           | Band B    |           | Band C    |           | Band D   |           | Total      |
|---|------------|----------|----------|----------|-----------|-----------|-----------|-----------|-----------|-----------|----------|-----------|------------|
|   | M          | F        | M        | F        | M         | F         | M         | F         | M         | F         | M        | F         |            |
| <b>White</b>  |            |          |          |          |           |           |           |           |           |           |          |           |            |
| British   | 0          | 0        | 1        | 0        | 3         | 5         | 6         | 4         | 6         | 11        | 3        | 5         | 44         |
| English   | 0          | 0        | 0        | 0        | 0         | 0         | 0         | 0         | 0         | 1         | 0        | 1         | 2          |
| Scottish  | 0          | 0        | 0        | 0        | 0         | 1         | 0         | 0         | 2         | 1         | 0        | 1         | 5          |
| Welsh   | 0          | 0        | 0        | 0        | 0         | 0         | 0         | 0         | 0         | 1         | 0        | 0         | 1          |
| Irish   | 0          | 1        | 0        | 0        | 0         | 0         | 1         | 0         | 1         | 0         | 0        | 0         | 3          |
| Other White   | 0          | 0        | 0        | 2        | 1         | 1         | 3         | 2         | 0         | 8         | 1        | 3         | 21         |
| <b>Sub total</b>                                      | <b>0</b>   | <b>1</b> | <b>1</b> | <b>2</b> | <b>4</b>  | <b>7</b>  | <b>10</b> | <b>6</b>  | <b>9</b>  | <b>22</b> | <b>4</b> | <b>10</b> | <b>76</b>  |
| <b>Mixed background</b>                               |            |          |          |          |           |           |           |           |           |           |          |           |            |
| White & Black Caribbean                               | 0          | 0        | 0        | 0        | 0         | 0         | 0         | 0         | 0         | 0         | 0        | 0         | 0          |
| White & Black African                                 | 0          | 0        | 0        | 0        | 0         | 0         | 0         | 0         | 0         | 0         | 0        | 0         | 0          |
| White & Asian   | 0          | 0        | 0        | 0        | 0         | 0         | 0         | 0         | 0         | 0         | 0        | 0         | 0          |
| Other Mixed   | 0          | 0        | 0        | 0        | 0         | 0         | 0         | 0         | 0         | 1         | 0        | 0         | 1          |
| <b>Sub total</b>                                      | <b>0</b>   | <b>0</b> | <b>0</b> | <b>0</b> | <b>0</b>  | <b>0</b>  | <b>0</b>  | <b>0</b>  | <b>0</b>  | <b>1</b>  | <b>0</b> | <b>0</b>  | <b>1</b>   |
| <b>Asian or Asian British</b>                         |            |          |          |          |           |           |           |           |           |           |          |           |            |
| Indian  | 0          | 0        | 0        | 0        | 3         | 3         | 2         | 5         | 4         | 5         | 0        | 1         | 23         |
| Pakistani   | 0          | 0        | 0        | 0        | 1         | 0         | 1         | 0         | 1         | 0         | 1        | 0         | 4          |
| Bangladeshi   | 0          | 0        | 0        | 0        | 0         | 0         | 0         | 0         | 1         | 1         | 0        | 0         | 2          |
| Other Asian   | 0          | 0        | 0        | 0        | 0         | 1         | 0         | 0         | 0         | 0         | 0        | 0         | 1          |
| <b>Sub total</b>                                      | <b>0</b>   | <b>0</b> | <b>0</b> | <b>0</b> | <b>4</b>  | <b>4</b>  | <b>3</b>  | <b>5</b>  | <b>6</b>  | <b>6</b>  | <b>1</b> | <b>1</b>  | <b>30</b>  |
| <b>Black or Black British</b>                         |            |          |          |          |           |           |           |           |           |           |          |           |            |
| Caribbean   | 0          | 0        | 1        | 2        | 2         | 2         | 4         | 9         | 5         | 9         | 4        | 12        | 50         |
| African   | 0          | 0        | 0        | 0        | 2         | 1         | 4         | 1         | 2         | 3         | 0        | 8         | 21         |
| Other Black   | 0          | 0        | 0        | 0        | 1         | 0         | 0         | 0         | 1         | 2         | 0        | 2         | 6          |
| <b>Sub total</b>                                      | <b>0</b>   | <b>0</b> | <b>1</b> | <b>2</b> | <b>5</b>  | <b>3</b>  | <b>8</b>  | <b>10</b> | <b>8</b>  | <b>14</b> | <b>4</b> | <b>22</b> | <b>77</b>  |
| <b>Chinese, Chinese British or other ethnic group</b> |            |          |          |          |           |           |           |           |           |           |          |           |            |
| Chinese   | 0          | 0        | 0        | 0        | 0         | 0         | 0         | 0         | 0         | 0         | 0        | 3         | 3          |
| Other background                                      | 0          | 0        | 0        | 0        | 1         | 0         | 0         | 2         | 1         | 4         | 0        | 0         | 8          |
| <b>Sub total</b>                                      | <b>0</b>   | <b>0</b> | <b>0</b> | <b>0</b> | <b>1</b>  | <b>0</b>  | <b>0</b>  | <b>2</b>  | <b>1</b>  | <b>4</b>  | <b>0</b> | <b>3</b>  | <b>11</b>  |
| <b>No response</b>                                    |            |          |          |          |           |           |           |           |           |           |          |           |            |
| <b>Sub total</b>                                      | <b>0</b>   | <b>0</b> | <b>1</b> | <b>0</b> | <b>1</b>  | <b>0</b>  | <b>1</b>  | <b>3</b>  | <b>1</b>  | <b>2</b>  | <b>0</b> | <b>0</b>  | <b>9</b>   |
| <b>Total</b>  | <b>0</b>   | <b>1</b> | <b>3</b> | <b>4</b> | <b>15</b> | <b>14</b> | <b>22</b> | <b>26</b> | <b>25</b> | <b>49</b> | <b>9</b> | <b>36</b> | <b>204</b> |

**NOTE: Figures include all staff on fixed-term contracts, and staff seconded to the CRE.**

## **Appendix 9: Ethnic categories used by CRE**

### **1. White**

- British
- English
- Scottish
- Welsh
- Irish
- Other

### **2. Mixed**

- White and Black Caribbean
- White and Black African
- White and Asian
- Other

### **3. Asian, Asian British, Asian English, Asian Scottish, or Asian Welsh**

- Indian
- Pakistani
- Bangladeshi
- Other

### **4. Black, Black British, Black English, Black Scottish, or Black Welsh**

- Caribbean
- African
- Other Black

### **5. Chinese, Chinese British or other ethnic group**

- Chinese
- Other background

(source Census 2001 – Expanded version for England and Wales)

## **Appendix 10: Glossary**

### **A**

#### **Adverse impact**

This is a significant difference in patterns of representation or outcomes between racial groups, with the difference amounting to a detriment for one or more racial groups.

### **C**

#### **Consultation**

Asking for views on policies or services from staff, colleagues, service-users, or the general public. Different circumstances call for different types of consultation. For example, consultation may include public meetings, focus groups, surveys and questionnaires, and meetings with experts.

### **D**

#### **Direct discrimination**

Less favourable treatment of a person on racial grounds compared with the treatment or likely treatment of a person from another racial group in the same or similar circumstances (see also indirect discrimination).

#### **Disparity**

This is a difference in representation or outcomes between different racial groups that may not amount to a detriment for a particular racial group (or groups).

#### **Due regard**

This means the weight given to race equality should be proportionate to its relevance to the three parts of the race equality duty. In practice, this approach means giving greater consideration and resources to functions and policies that have most effect on the public, or on the authority's employees.

### **F**

#### **Focus group**

Focus group research involves organised discussion with a selected group of individuals, to obtain information about their views and experiences on a particular topic. Focus group interviews are particularly suitable for obtaining several perspectives about a topic.

#### **Functions**

The full range of activities carried out by a public authority to meet its duties.

## G

### General duty

The duty given to public authorities, under section 71(1) of the Race Relations Act 1976, to have due regard to the need to eliminate unlawful discrimination and to promote equality of opportunity and good relations between people from different racial groups.

## H

### Harassment

Unwanted behaviour that has the purpose or effect of violating a person's dignity or creates a degrading, humiliating, hostile, intimidating or offensive working environment. Harassment on grounds of race or ethnic or national origins is a specific unlawful act under the RRA. Harassment on other grounds may involve less favourable treatment and may be unlawful direct discrimination.

## I

### Indirect discrimination

- *Grounds of race or ethnic or national origins*: the use of an apparently nondiscriminatory 'provision, criterion or practice' which puts people from a particular race or ethnic or national origin at a particular disadvantage compared with others, unless it can be shown that the provision, criterion or practice is a proportionate means of achieving a legitimate end.
- *All racial grounds (but effectively grounds of colour or nationality)*: the use of an apparently non-discriminatory requirement or condition which applies equally to everyone, but can only be met by a considerably smaller proportion of people from a particular racial group, is to the detriment of someone from that group, and cannot be objectively justified.

## M

### Monitoring, by racial group

A process for collecting, storing, analysing and evaluating data about the racial groups to which people say they belong, and linking this data and analysis with planning and implementing policies.

## P

### Policies

Policies are the sets of principles or criteria that define the different ways in which an organisation carries out its role or functions and meets its duties. Policies also include formal and informal decisions made in the course of their implementation.

## **Positive action**

Measures that employers and service providers may lawfully take under sections 35, 37 and 38 of the RRA, to provide people with services that meet any special needs they might have by way of education, training or welfare; or to train or encourage people from a racial group that is under-represented in particular work. In certain limited circumstances, the RRA allows employers and others to take provide training and encouragement to people of a particular racial group, if they are under-represented in particular work.

## **Public authority**

A body named, defined or described in schedule 1A to the Race Relations Act 1976 or, depending on the context, a body named, defined, or described in one of the schedules to the Race Relations Act 1976 (Statutory Duties) Order 2001, or the Race Relations Act 1976 (Statutory Duties) (Scotland) Order 2002, and all subsequent Statutory Duties Orders that have been introduced under section 71(2) of the Race Relations Act 1976. The term includes all central government departments and their executive agencies and non-departmental governing bodies, all NHS institutions, the governing bodies of schools and further and higher education institutions, the Scottish Executive and the National Assembly of Wales, among others.

## **Public functions**

These are activities that affect, or are likely to affect, the public or a section of the public. While only the courts can decide this, public functions would normally not include internal management or contractual matters such as: employing staff, purchasing goods, works or services, or buying or selling premises. This term is used to refer to those authorities that are bound by the duties only in relation to their public functions (for example professional representative organisations such as the Royal College of Surgeons, or broadcasting authorities).

## **Q**

### **Quality and equality steering group**

Internal steering group, which coordinates and undertakes action required to ensure effective implementation of the CRE's equalities strategy (including the RES) and maintenance of quality standards.

### **Qualitative data**

Information gathered from individuals about their experiences. Qualitative data usually gives less emphasis to statistics.

### **Quantitative data**

Statistical information in the form of numbers normally derived from a population in general or samples of that population. This information is often analysed using descriptive statistics, which consider general profile distributions and trends in the data, or using inferential statistics, which are used to determine significance within relationships of differences in the data.

## **R**

### **Race equality duty**

This term is used to refer to both the general duty and, where appropriate, the specific duties, placed on public authorities under section 71(1) of the Race Relations Act 1976, and the Race Relations Act 1976 (Statutory Duties) Order 2001 and Race Relations Act 1976 (Statutory Duties) (Scotland) Order 2002, or any subsequent Statutory Duties Order introduced through section 71(2) of the Race Relations Act 1976.

### **Race equality duty steering group**

The race equality duty steering group is a regular forum for discussion between, and decisions by, CRE officers working on the race equality duty.

### **Race equality impact assessment**

A systematic way of finding out whether a proposed policy affects different racial groups differently.

### **Race equality scheme**

A timetabled plan setting out how a public authority intends to meet its statutory general duty to eliminate unlawful racial discrimination and promote equality of opportunity and good relations between different racial groups. The scheme should list the functions and policies that have been assessed as being relevant to meeting the duty, and state the arrangements that have been made to assess, consult on and monitor present and proposed policies for any implications they might have for meeting the general statutory duty. A scheme should also set out the arrangements for publishing results, ensuring public access to information and services and training staff. Educational establishments are required to produce a race equality policy instead.

### **Race Relations Act (RRA)**

The Race Relations Act 1976 as amended by the Race Relations (Amendment) Act 2000 and the Race Relations Act 1976 (Amendment) Regulations 2003.

### **Racial group**

Racial groups are groups defined by racial grounds ie race, colour, nationality (including citizenship) or ethnic or national origins. All racial groups are protected from unlawful racial discrimination under the RRA.

### **Relevance**

For the purposes of the Race Relations Act, 'relevance' means 'having implications for' (or affecting) the general duty. A function or a policy will be relevant to racial equality, if it has, or could have, implications for promoting racial equality. Relevance is about how far a function or policy affects people, as members of the public and as employees of the authority.

## **S**

### **Statutory/specific duties**

Duties placed on selected public authorities bound by the statutory general duty (see above) under the Race Relations Act 1976 (Statutory Duties) Order 2001 or the Race Relations Act 1976 (Statutory Duties) Order 2003 and consequent Statutory Duties Order introduced through section 71(2) of the Act. In Scotland, additional public authorities are listed in the Race Relations Act

1976 (Statutory Duties) (Scotland) Order 2002 (SSI No 62) and the Race Relations Act 1976 (Statutory Duties) (Scotland) Amendment Order 2003 (SSI No 566). The current list of authorities is available on the Home Office and CRE websites. The duties include the production and publication of a 'race equality scheme' (see above) or, in the case of educational establishments, a 'race equality policy', and the monitoring, by racial group, of specified aspects of employment.

## V

### **Victimisation**

Less favourable treatment of a person because they have brought legal proceedings under the Race Relations Act (or the Sex or Disability Discrimination Acts), or are suspected of having done so; or because they have alleged that a person has committed an act which would amount to unlawful discrimination; or because they have given evidence or information in connection with proceedings brought under the laws mentioned above; or because they have otherwise done anything under the legislation in relation to any person, or because they have intended or intend to do any of these acts.