

Guidance notes

For drafting a race equality scheme

Using the national framework document provided by the NPD

Each probation board must publish a Race Equality Scheme, to include its Action Plan for 2002-2003, by 31st May 2002.

The Race Equality Scheme, including Action Plan, for your Area must reach the NPD by, or before, 13th May 2002.

Your Race Equality Scheme must be made available to all staff and members of the public. Staff must be given a leaflet with a summarized version of the Scheme, which summary may be appropriate for most members of the public. You should organise a specific launch strategy for your Race Equality Scheme.

1 General issues

- i When drafting your Race Equality Scheme and Action Plan you should include your Area's existing equal opportunities/race equality action plans to reflect the recommendation in "Towards Race Equality" – the HMIP Thematic Inspection Report.
- ii Your Action Plan will appear within your Race Equality Scheme and be published simultaneously with it.
- iii You will designate a Lead Official, at Chief Officer level, in the relevant section of your Race Equality Scheme.

2 Specific duties

- i Review of your Area's Race Equality Scheme will take place on annual basis as part of the annual business planning cycle. Your current equal opportunities policy and action plans must be reviewed by 30th October 2002.
- ii By March 2003, the board will review policies on complaints, harassment, grievance, discipline and capability proceedings to ensure that they are up to date and fit for purpose.
- iii The first full evaluation of your Area's scheme will take place in 2004/5.

3 Assessment of functions and policies

- i Each Area will make a list of its functions and policies emanating from them. See Table 1 for a list of NPS functions relevant to your Race Equality Scheme.
- ii You must add to this list, those functions and policies that you believe are relevant, and which you do not see on Table 1.
- iii All current policies must be assessed for impact by January 2003 and the results of the impact assessment incorporated into the annual business plan for 2003 – 2004.

Unclear about whether a new function is relevant?

If the relevance of a new function is not clear – add it to the list. The annual review of the functions and policies list will deliberate and decide whether it should be retained or excluded.

- iv Your probation board must review this list of functions and policies annually between October and January each year. Your first review will, therefore, commence in October 2002 concluding January 2003.

4 Action Plan for 2002/2003

Table 2 sets out the national priorities for 2002/2003. Please bear these in mind when drafting your Action Plan for this period, which is Year 1 for the operation of your Race Equality Scheme. Remember that, if you decide not to include one of the national priorities in your Area's Action Plan, NPD Head of Diversity, will need to see evidence that you have excluded this on the grounds that it has already been achieved.

The national plan priorities for year 2002/2003 are:

- Impact assessment of all current employment and service delivery policies and functions
- All new policies and functions emerging from June 2002 onwards must be assessed for negative race equality impact and reported on
- Monitoring by race and ethnicity. Review of race equality/equal opportunities policies
- Retention and progression of minority ethnic staff and retention of minority ethnic board members
- Recruitment of Asian staff
- Training for those with direct responsibility for implementation of the Race Relations (Amendment) Act 2000 and an audit of training needs for all staff
- Service delivery issues in respect of minority ethnic victims
- Review and, where necessary, establish consultation mechanisms and groups to include both internal and external stakeholders

It is expected that these national priorities will also be the priorities for local boards, unless there is evidence that these priorities have been achieved and therefore the board needs to consider other local priorities. NPD Head of Diversity will require evidence, where local priorities differ from national priorities.

Guidance notes

5 New work in your area and its Race Equality Scheme

- i The Chair, Chief Officer and policy developers must ensure that the relevance of new pieces of work to the board's responsibilities under the Race Relations Act as Amended are considered at the outset of the work. Any new functions and policies that this generates must be included in the list of functions and policies of your Area's Race Equality Scheme. New policies and functions from June 2002 must be subject to impact assessment using the national grid and reported upon.

6 Impact assessment grid

- i NPD will provide Areas with a standard impact assessment grid by 31st May 2002. The expectation is that the national grid will be used to assess all policies and functions and provides the basis on which an evaluation will be made of the relevance of such policies and functions to the board's duties, and actions to be taken.

7 Assessing and consulting

- i **New policies**
Race equality must be a core element of all new policies. Your board and its policy makers are responsible for assessing whether a new policy may have an adverse effect on members of minority ethnic groups. In order to do this, they will need to consult with relevant groups, organisations and individuals.

- ii **Pro-active engagement regarding impact assessment of policies**

Where the board has lead responsibility for a policy which requires partnership with the

Directorate, other government departments, criminal justice agencies, voluntary bodies etc, the board will ensure that those other bodies or organisations engage pro-actively with the impact assessment. The board will give access to available information and seek participation and information.

- iii Equally where the board is a partner with a lead body or organisation, the board will participate fully and as appropriate in the impact assessment process. It will engage actively, providing information, responding to consultation and taking account of outcomes of such assessments in its policy development.

8 Consultation

- i **Which groups should we consult to assess impact?**

The National Framework document has identified some groups who must normally be part of the consultation process. There will, of course, be others in your Area who may have an important contribution to make. Your board must determine whom to approach and at what stage. Looking back at the local groups you have consulted in the past, or presently use, add these names to the list of organisations for consultation, which you would include in your Area's Scheme.

- ii **What if some of the local groups in our Area are small and relatively unfamiliar with formal consultation processes?**

Be prepared to take a facilitative approach to ensure full participation by such groups. You could, for example, offer familiarisation seminars to small local groups who you believe have valuable input and advice to

offer, but are unfamiliar with how to do so. The groups could thus gain a better understanding of your Area's Race Equality Scheme and the context within which it is set, while allowing a dialogue as to the appropriate level of their involvement.

iii Network arrangements

You may want to look at network arrangements already in place when undertaking assessing and consulting duties under your Area's Scheme. There may be value to developing these further as multi-agency and/or regional approaches to consultation e.g. the local Drug Action Teams and other bodies may already encompass many of the partner agencies with whom your Area may wish to engage. Remember though, when developing such approaches that responsibility for the development and implementation of the Race Equality Scheme of your Area rests solely with your board.

iv The unions

NAPO and UNISON must be consulted.

v Staff associations

ABPO and NAAPS, as well as other staff associations will have a valuable contribution to make to the consultation process. You will find it useful to engage them at any early stage, and consistently, when assessing and consulting on the impact of new policies as well as general employment and service delivery issues.

vi Diversity Managers and Diversity Advisors

These are a valuable resource to utilise in the consultation process, as the links they have already developed with local and national groups will be very helpful.

vii Commission for Racial Equality

You will find relevant and useful guidance in the Commission for Racial Equality publication, 'A Guide for Public Authorities', which you can obtain direct from the CRE, or by accessing their website at www.cre.gov.uk.

9 Reporting to the National Director

i Your board will be providing reports to NPD Head of Diversity on assessment and consultation processes. NPD proposes to provide a national template to Areas to enable a clear and consistent approach by all Areas in fulfilling the reporting requirements contained within paragraph 2.23 of the National Framework document.

ii Reporting targets for 2002/2003

- Monthly Performance Reports
 - Retention targets for minority ethnic board members and staff commencing June 2002
- Quarterly Reports
 - Progress report to the Minister on Race and Ethnic monitoring 16+1 census 2001 categorization implementation.
 - Performance links (PSR & Monitoring returns)
- Annual Reports
 - Diversity Strategy Board's report to the Home Secretary to Include:
 - a Home Secretary's employment targets
 - b Local boards Race Equality Scheme & NPD Associate Scheme – results of monitoring under paragraph (2) monitoring by employers

Guidance notes

iii Reporting on retention figures

Reporting on retention figures of staff and board members, using the Census 2001 16+1 race and ethnic classification will commence from end-June 2002. Boards must therefore make arrangements for collating their figures, as these will be required by mid-June 2002.

10 Publishing results of assessments and monitoring

- i Publishing these results should be fully integrated into your Area's overall communications strategy. NPD Diversity Unit will publish the results of assessment and monitoring as necessary.

11 Past and current programmes of work

- i NPD recognizes that Areas will have ongoing programmes of work to improve race equality and equality of opportunity and that Areas will want to integrate these into the Action Plan that they formulate. There will also be achievements that Areas wish to highlight and important community and partnership links that they have established which they wish to list. Please give these the place you believe that they merit when drafting your Race Equality Scheme. Your Scheme must also highlight the perceived gaps that exist and state how these will be addressed.

Boards will monitor and report on the following:

Leadership

Actions taken by the board to promote the scheme and meet the general and specific duties

Policy context

Where new policies or activities are taking place

- 1 Has the potential impact of that new policy or service on different communities been assessed?
- 2 Has there been consultation?
- 3 Where an adverse impact has been identified, what is being done to mitigate it?

Risk

Where an adverse impact is identified this should be included as a 'RISK' and action recorded

- 4 Comment

Where the impact is not yet clear, give a brief description

Consultation

- 1 Who was consulted (list)
- 2 Duration of consultation
- 3 How results of the consultation feed into policy development and practice improvement

People

- Minority ethnic representation in the area
 - The numbers of minority ethnic staff in post
 - The numbers of minority ethnic board members
- Recruitment: Addressing priority action – low representation of Asian or other minority ethnic staff group.
 - How many apply for training or other posts?
 - How many apply for employment?
 - How many are successful?
 - Actions to promote the board to under-represented community groups
 - Positive action to support minority ethnic applicants
- Progression: Applicants for vacancies: All posts from middle managers/equivalent upwards
 - How many applied?
 - How many were successful?
 - How many were promoted?
 - What positive actions are being taken to assist applicants?
- Retention: Minority ethnic board members and staff leaving the organization.
 - How many left?
 - What position were they in ?
 - Reasons for leaving?
 - Exit interview (95%) target

Guidance notes

Processes

- Training of minority ethnic staff
 - How many apply for training initiatives?
 - How many receive training?

- Grievance Procedures
 - How many are involved in grievance procedures?
 - What are the outcomes?

- Disciplinary
 - How many are the subject of disciplinary procedures?
 - What are the outcomes?

- Complaints
 - How many complaints were made by minority ethnic staff and what were the outcomes?

Funding

It is anticipated that boards should be able to absorb the funding for their Scheme within their current available budget. The National Director is committed to supporting areas as much as possible especially in meeting the 2002/2003 training audit and delivery of targeted training. Limited central funding will be available for this purpose.

