CIVILSERVICE

Best practice guidance on monitoring equality and diversity in employment

March 2012

Contents

This guide has been developed by the Cross-Government Heads of Equality Group, which aims to build the capability of departments and agencies to improve the coverage, quality and consistency of their diversity data. The group helps to meet the requirements of the Civil Service Diversity Strategy, "Promoting Equality, Valuing Diversity".

1   Introduction

1.1   This guide provides practical advice for departments and agencies that want to improve their equality and diversity monitoring. It specifically covers the collection of personal data which will be identifiable to the individual.

1.2   Whilst this does not mandate every department to collect all the information/ categories included, the purpose of this guide is to provide a framework to move towards over time and that allows departments to collect comparable data. It also reflects best practice, thereby reducing the need for each department to consult and agree their own categories. It will be for each department to decide for themselves the best process for them to comply with legislative monitoring arrangements, so for example, some may collect some of the information by an employee self-service facility (which may have markers for those who are pregnant or on maternity leave), whereas in other scenarios such as recruitment or training, departments may wish to use manual forms.

1.3   Wherever and whenever possible departments and agencies should use the standardised questions within this guide, which reflect or could be aggregated to those categories used in the 2011 Census. Departures from these categories may be necessary where there are key operational or business concerns, or issues that need to be addressed that require deviation from this question set, or additional supplementary questions.

1.4   This guidance covers:
- The benefits of monitoring;
- The groundwork that needs to be put in place;
- What we should monitor; and
- The questions that we should ask.

1.5   Effective monitoring is a legal requirement for the civil service under the Equality Act 2010, which sets out public sector equality duty in relation to the following protected characteristics:
- Age
- Disability
- Gender reassignment
- Marriage/civil partnership status
- Pregnancy and maternity
- Race – this includes ethnic or national origins, colour or nationality
- Religion or belief – this includes lack of belief
- Sex
- Sexual orientation

1.6   Section 149 of the Equality Act 2010 sets out the public sector equality duty and states that

149 (1)A public authority must, in the exercise of its functions, have due regard to the need to—

(a)eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;

(b)advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;

(c)foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

(2)A person who is not a public authority but who exercises public functions must, in the exercise of those functions, have due regard to the matters mentioned in subsection (1).

(3)Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to—

(a)remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;

(b)take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;

(c)encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

1.8   It also applies to marriage and civil partnership, but only in respect of the requirement to have due regard to the need to eliminate discrimination.

1.9   Effective monitoring is an important tool for measuring performance and progress towards equality and diversity goals and in ensuring a truly inclusive working environment. Monitoring is not an end in itself. Data that is collected needs to be analysed and used to inform appropriate action.

1.10   Monitoring will only generate meaningful and reliable results when employees feel safe and confident in disclosing personal information and when they feel assured that meaningful action will follow. Departments who have been successful in doing this have taken significant steps to reassure staff on issues of confidentiality through their communications.

1.11   A sample equal opportunities monitoring form is attached at **Annex A**. This would have to be amended accordingly for staff in Northern Ireland and Scotland.

2 What is workforce monitoring and why should we be doing it?

What is monitoring?

2.1 Monitoring equality and diversity in the workforce enables departments and agencies to examine how their employment policies and processes are working and to identify areas where these appear to be impacting disproportionately on certain groups of staff. It is necessary to meet legislative requirements, provide the basis for showing 'due regard' and can lead to the development of better and more informed, inclusive decision making, including decisions on recruitment and promotion. Effective monitoring also helps departments minimise possible legal, financial and reputational harm.

2.2 Monitoring can be done at a variety of different points in the employment cycle including recruitment, training, promotion, staff surveys, performance management, grievances and dismissals. The purpose of collecting this information is to look for differences between groups, identify trends over periods of time, to investigate the reasons for these differences and to put suitable actions in place.

Benefits for departments and agencies

2.3 Understanding the composition of the workforce can enable an organisation to highlight differences between groups in terms of satisfaction, engagement and progression. This in turns can enable organisations to identify, tackle and prevent issues that would otherwise undermine employee engagement and productivity.

2.4 Equality and diversity monitoring can help to:

- **build reputation** – Research shows that the best performing organisations are those that invest most on promoting equality and diversity in their workforce[1];
- **improve productivity** – We know that valuing and supporting the diversity of people‟s backgrounds and lifestyles is important in making the most of the contribution that they can bring to an organisation's performance[2];
- **recruit and retain the best** from the widest talent pool;
- **create awareness** - Signalling the organisation's understanding of and commitment to creating a more inclusive work environment;
- **provide specific adjustments, training or interventions**;
- **Identify and address any inequalities -** in the application of employment practices; and
- **avoid risk** –compliance with the Equality Act 2010 avoids damaging and costly employment tribunals or negative publicity

---

[1] The Business of Diversity, Schneider-Ross (2002)
[2] Measuring Leadership Effectiveness for Improved Organisational Performance: ASR Research (2004)

3   What should we monitor?

3.1 We want to be confident that we understand the composition of our workforce, to take advantage of the benefits that a diverse workforce offers both the employee and the organisation.

3.2 The Civil Service diversity strategy, 'Promoting Equality, Valuing Diversity', sets out a long term aim for each department and agency to know the disability status and ethnic background of at least 90% of their workforce and the religion or belief and sexual orientation of at least 80% of their workforce by the end of 2013. Departments and their agencies should by now have in place mechanisms to collect data on religion or belief and sexual orientation.

3.3 This guidance is designed to help departments and agencies to do this in a consistent way, to allow for greater comparison and the sharing of good practice. Equality and diversity monitoring data should be collected on:
- Age
- Disability
- Marriage/civil partnership status
- Pregnancy and maternity
- Race
- Religion/belief
- Sex
- Sexual orientation

3.4 In addition, whilst there is no legal requirement to monitor the following categories, they are suggested as good practice, in support of the Government's ambition to extend flexible working to all employees:
- Caring responsibilities
- Flexible working
- Working Pattern (i.e. full-time or part-time)

3.5 This data needs to be analysed and used at various stages of the employment cycle including recruitment, training, performance appraisals, promotion, staff surveys, grievances and dismissals. It is also important that the data is kept up to date as, for example, disability status can change over time.

3.6 The Civil Service does **not** monitor gender identity. Instead, departments and agencies should consider other approaches, such as specific initiatives to meet different needs of transsexual people, in order to measure progress on trans equality. However, questions in the Civil Service People Survey on the causes of discrimination, bullying and harassment in anonymous staff surveys do include 'gender reassignment' or 'perceived gender' as one of the possible causes.

3.7 It is important to note that section 22 of the Gender Recognition Act 2004 prohibits disclosure of an individual's gender identity who is protected by the Act.

The 'prefer not to say' option

3.8 Whether a department uses the category 'prefer not to say' is a matter for that department to decide.

4 What questions should we ask?

4.1   The following question recommendations are a combination of those categories used by the Office for National Statistics (ONS) (and their counterpart organisations) in the 2011 Census for England, Wales, Scotland and Northern Ireland, plus examples of best practice as promoted by external diversity organisations such as Stonewall, the Employers Forum on Disability and Opportunity Now.

4.2   If departments and agencies are using electronic media to collect this information they should ensure that those completing the questionnaire are able to move through to later questions if they do not wish to answer a certain question.

4.3   More detailed guidance on how to monitor within the various categories follows.

Case Study

The Home Office's approach to diversity and equality declaration

Since 2007, the Home Office has collected diversity information on staff in respect of gender, ethnicity, disability, sexual orientation, religion and belief, age, grade and working pattern.
In summer 2007, a new online Oracle-based system was introduced in the Home Office headquarters and the UK Border Agency so that staff could securely input their data online. This allowed staff to enter and update their own personal details, including the diversity data fields.

	March 2008	March 2011
Ethnicity	60%	99%
Disability	79%	99%
Sexual orientation	29%	98%
Religion and belief	31%	98%

However, it was only when it became mandatory* for staff (in June 2008) to complete their diversity data in order to see their online payslips, together with a concerted communication campaign about the reasons for monitoring, that month on month, the department saw a significant increase in declaration that enable the Department to reach such high levels of declaration.

In 2011, the department also added the categories of caring responsibilities and flexible working arrangements, plus a breakdown of disability status (e.g. manual dexterity or mobility) to better understanding these aspects of the Home Office workforce.

Age

4.4   At the very minimum the age categories that should be used are:
- 16-24
- 25-29
- 30-34
- 35-39
- 40-44
- 45-49
- 50-54
- 55-59
- 60-64
- 65+
- Prefer not to say

4.5   Adoption of these categories will allow for greater consistency and comparability across the Civil Service.

Caring responsibilities

4.6   Monitoring of staff caring responsibilities is not required by law but suggested as good practice.

4.7   There are 6 million carers in the United Kingdom and nearly one in eight workers are carers. With an ageing population and an expected increase of 60% of carers in the next 30 years, it is advisable to start monitoring the impact of policies on staff with caring responsibilities as they make up a sizeable proportion of the workforce. The question should read:

Do you have caring responsibilities? If yes please tick all that apply.

- None
- Primary carer of a child/children (under 18)
- Primary carer of disabled child/children
- Primary carer of disabled adult (18 and over)
- Primary carer of older person/people (65 and over)
- Secondary carer
- Prefer not to say

Disability

4.8   To establish robust data on disability it is essential to develop a shared understanding of what having a disability means and to provide people with reassurance that their personal information is protected, will remain confidential and will not be used to their detriment.

4.9   There has been ongoing debate about the approach to defining disability and in relation to the medical and social models of disability in particular. Historically, the medical model has been the predominant way of thinking about disability, where the individual is defined by their condition. It is the condition that is likely to be perceived

as the problem. The social model of disability, has now become the more acceptable way of thinking about disabled people. Here, it is the barriers in the environment such as stairs without ramps or lifts, non-inclusive or discriminatory policies, procedures or practices and people's attitudes which actually 'disable' people.

4.10   Section 6(1) of the Equality Act 2010 states that a person has a disability if:
(a) That person has a physical or mental impairment, and
(b) The impairment has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

4.11   In developing good quality data on disability, it is essential that disabled staff, in particular, are confident and satisfied that we handle the data in a sensitive, positive and appropriate way.

4.12   The above notes (or something similar) should be included as a guidance sheet in your monitoring information. Below is an example of how you might word your disability question:

Do you consider yourself to be disabled?

- Yes
- No
- Prefer not to say

4.13   If you are an organisation which already has high levels of declaration on disability, and you would like to understand the differential impact on staff, you may wish to monitor the following, more detailed categories, suggested by the Employers Forum on Disability:

- None
- Hearing impairment
- Mental ill health
- Visual impairment
- Mobility
- Manual dexterity
- Progressive conditions
- Learning difficulties (where a person learns in a different way i.e. someone who is dyslexic
- Facial disfigurement
- Speech impairment
- Other
- Prefer not to say

4.14   Consideration should be given to regular reviews of the data collected, preferably annually, particularly to recognise the possibility of disability status changing.

Enquiries about disability and health

4.15 Section 60 of the Equality Act 2010 states that an employer cannot ask applicants about their health before any selection process for a post, although collecting data for the purposes of monitoring is allowed.

4.16 Whilst not law, paragraphs 197-201 of the current Explanatory Memorandum to the Equality Act 2010 provides the following guidance:

"197. Except in the situations specified in this section, an employer must not ask about a job applicant's health until that person has been either offered a job (on a conditional or unconditional basis) or been included in a pool of successful candidates to be offered a job when a suitable position arises. The specified situations where health-related enquiries can be made are for the purposes of:

- finding out whether a job applicant would be able to participate in an assessment to test his or her suitability for the work;

- making reasonable adjustments to enable the disabled person to participate in the recruitment process;

- finding out whether a job applicant would be able to undertake a function that is intrinsic to the job, with reasonable adjustments in place as required;

- monitoring diversity in applications for jobs;

- supporting positive action in employment for disabled people; and

- enabling an employer to identify suitable candidates for a job where there is an occupational requirement for the person to be disabled.

198. The section also allows questions to be asked where they are needed in the context of national security vetting.

199. Where an employer makes a health or disability-related enquiry which falls outside the specified situations, he or she would be acting unlawfully under the Equality Act 2006. Together with Schedule 26, this section gives the Equality and Human Rights Commission (EHRC) an enforcement role. (Section 120(8) ensures that only the EHRC can enforce a breach of this provision.). This means, for example, that the EHRC would be able to conduct an investigation if there was evidence that a large employer might be routinely asking prohibited questions when recruiting.

200. Where the employer asks a question not allowed by this section and rejects the applicant, if the applicant then makes a claim to the employment tribunal for direct disability discrimination, it will be for the employer to show that it had not discriminated against the candidate.

201. As well as applying to recruitment to employment, the section also applies to the other areas covered by Part 5 of the Act, such as
the other areas covered by Part 5 of the Act, such as contract work, business partnerships, office-holders, barristers and advocates."

Race

4.17   Race, under the Equality Act 2010, includes colour, nationality, ethnic or national origins. Departments should explore mechanisms to record the nationality and or national identity of its workforce. Please note that nationality and national identity can differ, for example a member of staff who has a Scottish national identity would have British nationality.

National identity

4.18   The 'national identity' categories in the 2011 censuses for 'England and Wales' and Scotland used different categories to those used in the 2011 census for Northern Ireland. Adding 'prefer not to say', these are:

England and Wales, and Scotland 2011 censuses	Northern Ireland 2011 census
British	British
English	English
Northern Irish	Irish
Scottish	Northern Irish
Welsh	Scottish
Other	Welsh
Prefer not to say	Other
	Prefer not to say

4.19   Departments and their agencies may wish to add all national identities particularly where there are staff overseas, like FCO and UK Border Agency (UKBA). A list of nationalities currently used by UKBA can be found at **Annex B**.

4.20   If a question on Nationality is used it should appear immediately before any question on ethnicity. ONS testing of the national identity question showed that British-born people from ethnic minority groups were more likely to answer the ethnic group question if a national identity question was asked first, as it allowed them to state that they were British

Ethnicity

4.21   The Civil Service should follow the ethnicity classifications set out by ONS and their equivalent bodies for the 2011 Census for England, Wales, Scotland and Northern Ireland and should attempt by colour outside of this framework.
The overall groupings are listed in the first column and the sub-categories are listed in the second column.

Aggregate heading	Categories for data collection	Notes
White	English	
	Welsh	
	Scottish	
	Northern Irish	
	Irish	
	Gypsy or Irish Traveller	
	Polish	*Only required if you have staff in Scotland*
	Other white background	
Mixed/multiple ethnic groups	White and Black Caribbean	
	White and Black African	
	White and Asian	
	Any other mixed background	
Asian/Asian British	Indian	
	Pakistani	
	Bangladeshi	
	Chinese	
	Any other Asian background	
Black/ African/ Caribbean/ Black British	African	
	Caribbean	
	Any other Black/African/Caribbean background	
	Black, Black Scottish or Black British	*Only required if you have staff in Scotland*
Other ethnic group	Arab	
	Any other ethnic group	
Prefer not to say		

If departments wish to add additional categories, they should be explicit about how these can be collapsed in order to allow comparison with the Census data.

Flexible working

4.22   This is not required by law but is recommended as good practice.

4.23   In consultation with Opportunity Now, the campaign organisation for gender equality in the workplace, the following should be monitored on flexible working. This is in addition to working pattern, as someone may be part-time but also working flexible hours or a homeworker, for example.

4.24   If you wish to monitor this area, you should ask:

What is your current flexible working arrangement?

- None
- Flexi-time
- Staggered hours
- Term-time hours
- Annualised hours
- Job-share
- Flexible shifts
- Compressed hours
- Homeworking
- Other
- Prefer not to say

Gender Identity

4.25   As an equal opportunities employer, the Civil Service is committed to delivery of a working environment free from prejudice and unlawful discrimination, and that, of course, includes on grounds of gender reassignment. The new Public Sector Equality Duty now provides greater protection for transsexual people.

4.26   Section 22 of the Gender Recognition Act 2004 prohibits employers from making known the gender of an individual who is protected by the Act. This carries criminal sanctions and for this reason, we do not collect data on the gender identity of our staff. However, in terms of paying due regard (as required by the Equality Act 2010) to gender identity, consideration should be given as to how individuals who live in, or identify with a gender which differs from the birth will be impacted on.

Gender identity considerations during restructuring

4.27   In the context of restructuring/reducing a part of the business where staff will be made surplus, it is important that whilst no data on gender identity is collected, the impact in relation to gender identity is still considered. Where a line manager is aware that a member of their staff will be, or is undergoing or has undergone the process of gender reassignment, the line manager should maintain the confidentiality of the individual concerned. As well as the Data Protection Act and Human Rights Act some will have additional privacy protection afforded under the Gender Recognition Act and best practice is to treat all as if they have such recognition. Gender reassignment is a protected characteristic under the Equality Act 2010.

4.28   However, they should take steps to ensure the needs of the individual are appropriately taken into consideration when taking into account the restructuring and redundancy policy. Where necessary, consent and involvement of the individual member of staff should be sought throughout the restructuring and redundancy policy implementation, to satisfy them that all steps are being taken not to compromise their right to privacy.

4.29   On occasions, individuals may willingly give their consent to declaration on their gender identity. No individual should be pressured into giving such consent.

13

However as a safeguard for all concerned, when such consent is given, it should be in writing.

4.30   In addition, it is necessary to ensure that staff who are protected under the Equality Act is given due consideration in terms of avoiding discriminatory actions in all situations within the workplace and not just in relation to restructuring or redundancy exercises, though this is also clearly important.

Marriage/Civil Partnership Status

4.31   'Marital/civil partnership status' can be included as this is included in section 8 of the Equality Act 2010 and part of the Public Sector Equality Duty in respect of the requirement to have due regard to the need to eliminate discrimination. The category 'married' should not be separate to 'Civil Partnership' but as one category. Therefore, the question should be:

Are you married or in a civil partnership?

- Yes
- No
- Prefer not to say

Pregnancy and Maternity

4.32   Departments and their agencies should have in place adequate mechanisms for monitoring women who are pregnant or on maternity leave to ensure that they are not subject to unfavourable treatment in employment. Areas that departments should pay particular attention to would include monitoring in restructuring, recruitment, promotion, bullying and harassment, pay and reward and sickness absence. It is also crucial that situations involving redundancy are monitored closely, particularly since there are specific provisions within the law that women on maternity leave should be offered a suitable alternative vacancy.

4.33   A woman is protected under section 18 of the Equality Act 2010 and cannot be treated unfavourably because of the pregnancy or because of illness suffered by her as a result of it, or because she is on compulsory maternity leave, or she is exercising or seeking to exercise, or has exercised to sought to exercise, the right to ordinary or additional maternity leave. Monitoring should take place in key employment processes for any evidence of unfavourable treatment.   The department should ask In those scenarios, the question should be:

As a woman, are you pregnant, on maternity leave or returning from maternity leave?

- Yes
- No
- Prefer not to say

4.34   Monitoring in this area may show small sizes and it may be difficult to draw any statistical conclusions from those samples. As such, departments may wish to take this into account before deciding to create a specific data capture capability.

Religion/belief

4.35   The 2011 Census categories on religion and belief differ for England, Wales, Scotland and Northern Ireland. The question and categories should be:

What is your religion or belief?

No religion	
Christian (including Church of England, Catholic, Protestant and all other Christian denominations)	
Buddhist	
Hindu	
Jewish	
Muslim	
Sikh	
Any other religion	
Church of Scotland	Only required if you have staff in Scotland
Roman Catholic	Only required if you have staff in Scotland and Northern Ireland
Presbyterian Church in Ireland	Only required if you have staff in Northern Ireland
Church of Ireland	Only required if you have staff in Northern Ireland
Methodist Church in Ireland	Only required if you have staff in Northern Ireland
Prefer not to say	

4.36   If departmental systems allow, good practice suggest that the following categories could also be added:

- Agnostic
- Atheist
- Bahai
- Humanism
- Jain
- Pagan
- Rastafarian
- Scientologist
- Shinto
- Zoroastrian

Sex

4.37   'Male' and 'female' are the only two genders recognised in law. Please note that in no circumstance should a third category of 'Other' be included as this can be offensive to those who are intersex or who have changed gender. Therefore, the categories should be:

- Male
- Female

Sexual orientation

4.38   As identified as best practice from Stonewall, the recommended question and categories are:

What is your sexual orientation?

- Heterosexual/straight
- Gay woman/lesbian
- Gay man
- Bisexual
- Other
- Prefer not to say

4.39   ONS testing has shown that in order to improve the accuracy of responses the question on sexual orientation should feature before that on religion. They found that if the question on religion preceded that on sexual orientation it adversely impacted the sexual orientation response.

Working pattern

4.40   Whilst not required by law, this is recommended as good practice. This would be in addition to the categories on flexible working and should be:

What is your working pattern?

- Full-time
- Part-time
- Prefer not to say

5   Preparing the organisation for monitoring

5.1 Monitoring equality and diversity will only be successful if all staff support the initiative, including those from majority groups. Proportions of staff from particular groups, such as disabled staff, or staff from ethnic minority backgrounds, are always expressed as a proportion of those whose disability status or ethnic background is known. Unless staff who are not disabled and who are in majority ethnic groups also participate in monitoring, the resulting data for under-represented groups will not be robust. A strong case for monitoring, with clearly detailed aims and benefits (see Chapter 2) and outcomes for the organisation is an essential tool for gaining this support.

5.2 The principles in this section for laying the groundwork to achieve support for monitoring builds on the existing good practice across the Civil Service.

5.3 Experience shows that confidence in any drive to improve declaration will be enhanced if senior managers and Board members are known to be taking part, or have already completed their equality information.

5.4 It is important to involve and consult with key stakeholders. This will enable compilation of monitoring information and communications that are tailored to the needs and expectations of individual departments and agencies. It is important to gain support from key stakeholders, to pre-empt any barriers to declaration and to find an effective way to promote the initiative within the organisation.

5.5 Key stakeholders to consider involving and consulting with include:

- All staff;
- Line managers;
- Senior management;
- Trade Unions;
- Staff support network groups;
- Internal communication specialists; and
- Other identified stakeholders that could impact on the success of the initiative.

5.6 The support of these key individuals and groups can help to secure the participation of employees.

Communication

5.7 All staff must be made fully aware of what they are expected to do and why. They must be reassured that the organisation's prime motivation in carrying out the monitoring exercise is to establish equality of opportunity for every employee, enabling everyone to contribute to their full potential.

5.8 The monitoring initiative must be widely and carefully communicated. Experience has shown that best results are achieved where communications are made jointly with the trade union side. This could be done via a number of channels including:

- Top management messages of communication
- Personal emails
- Intranet pages
- Internal newsletters
- Team briefings
- Posters
- Launch events

Case Study

Diversity monitoring in the Department of Health

In July 2009, the Department of Health launched its diversity monitoring exercise through the Permanent Secretary's monthly update, Managers' briefing and a front-page story on the intranet. The aim being to update the existing employee data on disability and ethnicity using the census classifications; and to extend monitoring to sexual orientation, religion or belief and caring responsibilities.

The first stage of the exercise was an on-line completion via the HR self-service facility. The second stage involved a paper-based exercise after which those that had not made a declaration were followed up by phone. Four months on, the Department achieved declaration rates of 95% on Disability and 96% on Ethnicity and around 60% for the other three new categories.

We believe that the successful outcome of the exercise was due to;
- a comprehensive communication strategy;
- the involvement of stakeholders (including Unions and staff networks) from an early stage; and
- the paper-based follow-up – which was the most productive method used.

The paper-based exercise only required staff to tick a few boxes and return in a self-addressed envelope provided. The response rate was higher than the telephone follow-up.

The communication strategy included a note from the HR Director outlining the aims and benefits of the exercise, attached to the note was a 'Question and Answer' brief covering all aspect of the exercise from 'how the categories were developed' to 'what the data would be used for'.

5.9 In any communication it is important to stress exactly why the information is needed and communicate the benefits of collecting and using this information. Assurances must be given about confidentiality and on how the information will be stored and used, and on who will have access to this information.

5.10 Prior to any staff communication it is important to ensure that key stakeholders such as heads of business units and HR Business Partners are

made aware of any impending declaration exercise so that they can proactively support the drive to improve declaration.

5.11   Throughout any drive to improve declaration it is essential that staff receive messages encouraging them to complete and to update their equality and diversity information through both formal channels such as the intranet and staff magazines and through informal channels via contact with their managers and their HR Business Partners. Trade unions and staff networks can also play a useful role in emphasising the positive aspects of monitoring.

5.12   Improving declaration is an ongoing process. It is therefore vital to build upon any previous drive to improve declaration. This may be done by focussing on those that have not made a declaration and contacting them confidentially either via telephone or email.

6   Use of diversity data

Once this data has been collected it is vital for it to be used, and for it to be seen to be used. Demonstrating its value and use will encourage further declaration.

For example, during the recruitment cycle, by collecting and then analysing the data at various stages you can see which groups have applied for vacancies and see whether or not they have, proportionately, made it through the initial sift, interview and then through to final selection. This initial analysis may then be followed by some qualitative research on the barriers which may have existed for any groups disproportionately represented at any particular stage, followed up by an appropriate action to remove any unfair barriers.

Stage 1 – This is the first cut of data by protected characteristic which may show, for example, that women are leaving the department at greater rates than men.

Stage 2 – The next level of analysis might be to look across multiple protected characteristics to see if there are patterns which better explain the first cut of data. For example, departments may look at women who work part-time leaving the organisation.

Stage 3 – Where issues are identified, departments may wish to run targeted surveys and focus groups with staff to get quantitative and qualitative feedback so that appropriate interventions could be put in place.

Using equality information to set representation benchmarks

7.6 When setting achievable representation targets benchmarks, departments should consider all relevant data available to them. They should pay particular attention to historical and projected trends on flows into, out of and within the SCS by the different diversity groups and to the relevant populations that feed into the SCS e.g. number of women at Grade 6 and 7. In addition, departments may also wish to take into account any activity on talent management such as the nine-box system, future vacancies and any succession/workforce plans that may have been developed.

7.7 This information should be used to set achievable benchmarks and track progress.

Case Study

ONS use of data to monitor and set its Equality and Diversity Objectives

In 2008/9 ONS recognised the need for a high level management tool which would bring together a range of equality and diversity data to enhance its ability to understand the experience of protected groups in ONS, to identify any issues that may exist and to prioritise which issues needed to be tackled.

ONS developed an Equality and Diversity Dashboard (based on a draft template created by the Civil Service Data Monitoring Group which now does not exist). This Dashboard brings together information on:

- progress against its SCS and feeder grade targets for gender, ethnicity and disability
- staff profile by grade across the protected characteristics
- staff declaration rates for each protected characteristic
- information from its HR Data Monitoring process for performance management; promotion; recruitment; grievance and training for each protected characteristic
- People Survey data across the protected characteristics
- a simple RAG status to identify progress

This dashboard has, for the past two years, been discussed by the ONS Equality and Diversity Steering Group, to identify and monitor priority areas for action for the coming twelve months. The dashboard is shared widely across the business. ONS staff network groups are asked to feed into the development of action plans and make recommendations on the way forward. Its current priority areas have remained the same for 2011 and 2012:

- Disability
- Representation of women at SCS
- Part Time working

This has resulted in action plans for each group. Although it is still too early to see the medium term effects of these action plans, ONS has noticed an increase in its employment engagement index for its disabled staff in its most recent People Survey.

The diversity dashboard forms a significant part of the ONS Equality and Diversity Report, which is published on its website. A link to the latest report which includes the Diversity Dashboard is available here: http://www.ons.gov.uk/ons/about-ons/who-we-are/about-diversity/how-we-measure-equality-and-diversity/index.html

The [Department] is committed to recruiting, retaining and developing a workforce that reflects at all grades the diverse communities that we serve. It is vital that we monitor and analyse diversity information so that we can ensure that our HR processes are fair, transparent, promote equality of opportunity for all staff, and do not have an adverse impact on any particular group. Your cooperation in providing us with accurate data will ensure that we, not only meet our legal obligations, but even more importantly will result in us designing and applying policies and processes that attract and retain a diverse, talented and motivated workforce. Any information provided on this form will be treated as strictly confidential and will be used for statistical purposes only. It will not be seen by anybody directly involved in the selection process. No information will be published or used in any way which allows any individual to be identified.

Gender		Male ☐		Female ☐

Are you married or in a civil partnership	Yes ☐		No ☐

Age

16-24 ☐	25-29 ☐	30-34 ☐	35-39 ☐	40-44 ☐
45-49 ☐	50-54 ☐	55-59 ☐	60-64 ☐	65+ ☐

Prefer not to say ☐

How would you describe your national identity?

English ☐	Welsh ☐	Scottish ☐	Northern Irish ☐
British ☐	Other ☐	Prefer not to say ☐	

What is your ethnicity?

Ethnic origin categories are not about nationality, place of birth or citizenship. They are about the group to which you as an individual perceive you belong. Please indicate your ethnic origin by ticking the appropriate box

White

English ☐	Welsh ☐	Scottish ☐	Northern Irish ☐
Irish ☐	Gypsy or Irish Traveller ☐	Other White background ☐	

Mixed/multiple ethnic groups

White and Black Caribbean ☐	White and Black African ☐
White and Asian ☐	Any other mixed background ☐

Asian/Asian British

Indian ☐	Pakistani ☐
Bangladeshi ☐	Chinese ☐
Any other Asian background ☐	

Black/ African/ Caribbean/ Black British

African ☐	Caribbean ☐
Any other Black/African/Caribbean background ☐	

Other ethnic group

Arab ☐	Any other ethnic group ☐

Prefer not to say ☐

Do you consider yourself to be disabled? Yes ☐ No ☐ Prefer not to say ☐

Any information you provide here will be used for monitoring purposes only – if you need a 'reasonable adjustment', then please follow the additional separate process. We will take reasonable steps to meet your particular needs.

What is your sexual orientation?

Heterosexual/straight	☐	Gay woman/lesbian	☐
Gay man	☐	Bisexual	☐
Other	☐	Prefer not to say	☐

What is your religion or belief?

No religion	☐	Buddhist	☐	Christian	☐
Hindu	☐	Jewish	☐	Muslim	☐
Sikh	☐	Any other religion	☐	Prefer not to say	☐

What is your current working pattern?

Full-time	☐	Part-time	☐
Prefer not to say	☐		

What is your flexible working arrangement?

None	☐	Flexi-time	☐
Staggered hours	☐	Term-time hours	☐
Annualised hours	☐	Job-share	☐
Flexible shifts	☐	Compressed hours	☐
Homeworking	☐	Other	☐

Do you have caring responsibilities? If yes please tick all that apply

None ☐

Primary carer of a child/children (under 18)	☐	Primary carer of disabled child/children	☐
Primary carer of disabled adult (18 and over)	☐	Primary carer of older person (65+)	☐
Secondary carer	☐	Prefer not to say	☐

**By completing this form you have helped us better understand
how we, as an employer, ensure equality of opportunity for all.**

Thank you for completing this form.

AFGHANISTAN	AFG	CAYMAN ISLANDS	CYM
ALBANIA	ALB	CENTRAL AFRICAN REPUBLIC	CAF
ALGERIA	DZA	CHAD	TCD
AMERICA	USA	CHILE	CHL
AMERICAN SAMOA	ASM	CHINA PEOPLES REP, OF	CHN
ANDORRA	AND	CHINA REP. OF (TAIWAN)	TWN
ANGOLA	AGO	CHINA, SPECIAL ADMINISTRATIVE REGION (Hong Kong)	
ANGUILLA	AIA		
ANTARCTICA (BRITISH)	ZZZ	-HOLDER OF HKSAR PASSPORT	HKG
ANTIGUA AND BARBUDA	ATG	-BN (O)	GBN
ARGENTINA	ARG	-HOLDER OF CI OR DI	XXH
ARMENIA	ARM	-CATEGORY UNKNOWN	HKG
ARUBA	NLD	CHRISTMAS ISLANDS	AUS
AUSTRALIA	AUS	COCOS (KEELING) ISLANDS	AUS
AUSTRIA	AUT	COLOMBIA	COL
AZERBAIJAN	AZE	COMOROS	COM
BAHAMAS	BHS	CONGO	COG
BAHRAIN	BHR	CONGO DEMOCRATIC REPUBLIC	ZAR
BANGLADESH	BGD	COOK ISLAND	NZL
BARBADOS	BRB	COSTA RICA	CRI
BARBUDA	ATG	COTE d'Ivoire	CIV
BELARUS	BLR	CROATIA	HRV
BELGUIM	BEL	CUBA	CUB
BELIZE	BLZ	CYPRUS	CYP
BENIN	BEN	CYPRUS (TURKISH REP. OF NORTHERN CYPRUS)	XXT
BERMUDA	BMU		
BHUTAN	BTN	CZECH REPUBLIC	CZE
BOLIVIA	BOL	CZECHOSLOVAKIA	CSK
BOSNIA-HERZOGOVINA	BIH	DENMARK	DNK
BOTSWANA	BWA	DJIBOUTI	DJI
BOUVET ISLAND	NOR	DOMINICA	DMA
BRAZIL	BRA	DOMINICAN REPUBLIC	DOM
BRITISH CITIZEN	GBR	EAST TIMOR	IDN
BRITISH DEPENDENT TERRITORIES CITIZEN		ECUADOR	ECU
		EGYPT	EGY
- (TERRITORY NOT KNOWN)	GBD	EL SALVADOR	SLV
BRITISH NATIONAL (OVERSEAS)	GBN	EQUATORIAL GUINEA	GNQ
BRITISH OVERSEAS CITIZEN	GBO	ERITREA	ERI
BRITISH PROTECTED CITIZEN	GBP	ESTONIA	EST
BRITISH INDIAN OCEAN TERRITORIES	IOT	ETHIOPIA	ETH
BRITISH SUBJECT	GBS	FALKLAND ISLANDS	FLK
BRUNEI DARUSSALAM	BRN	FAROE ISLANDS	FRO
BULGARIA	BGR	FIJI	FJI
BURKINO FASO	BFA	FINLAND	FIN
BURMA (MYANMAR)	MMR	FRANCE	FRA
BURUNDI	BDI	FRENCH GUIANA	FRA
CAMBODIA (KAMPUCHIA)	KHM	FRENCH POLYNESIA	FRA
CAMEROON	CMR	FRENCH SOUTHERN TERRITORIES	FRA
CANADA	CAN	GABON	GAB
CAPE VERDE	CPV	GAMBIA	GMB
		GEORGIA	GEO

GERMANY	D	LUXEMBOURG	LUX
GHANA	GHA	MACAO [1]	MAC
GIBRALTAR	GIB	MACEDONIA	MKD
GREECE	GRC	MADAGASCAR (MALAGASY REP.)	MDG
GREENLAND	GRL	MALAWI	MWI
GRENADA	GRD	MALAYSIA	MYS
GUADELOUPE	FRA	MALDIVES	MDV
GUAM	USA	MALI	MLI
GUATEMALA	GTM	MALTA	MLT
GUINEA	GIN	MARSHALL ISLAND	MHL
GUINEA-BISSAU (REP. OF)	GNB	MARTINQUE	FRA
GUYANA	GUY	MAURITANIA	MRT
HAITI	HTI	MAURITIUS	MUS
HEARD AND MCDONALD ISLANDS	AUS	MAYOTTE	FRA
HOLY See (VATICAN)	VAT	MEXICO	MEX
HONDURAS	HND	MICRONESIA	FSM
HONG KONG, SPECIAL ADMINISTRATIVE REGION OF CHINA		MOLDOVA, REPUBLIC OF	MOA
		MONACO	MCO
-HOLDER OF HKSAR PASSPORT	HKG	MONGOLIA	MNG
-BN (O)	GBN	MONTENEGRO	YUG
-HOLDER OF CI OR DI	XXH	MONTSERRAT	MSR
-CATEGORY UNKNOWN	HKG	MOROCCO	MAR
HUNGARY	HUN	MOZAMBIQUE	MOZ
ICELAND	ISL	MYANMAR (BURMA)	MMR
INDIA	IND	NAMIBIA	NAM
INDONESIA	IDN	NATIONALITY UNKNOWN - OFFICIALLY DESIGNATED AS SUCH [2]	XXX
IRAN	IRN		
IRAQ	IRQ	NATIONALITY UNKNOWN - OTHER (all systems except SI)	ZZZ
IRELAND	IRL		
ISRAEL	ISR	NATIONALITY UNKNOWN - OTHER (Suspect Index)	blank
ISRAELI OCCUPIED TERRITORIES			
- NON NATIONAL DOCUMENT	XXP	NAURU	NRU
ITALY	ITA	NEPAL	NPL
IVORY COAST	CIV	NETHERLANDS	NLD
JAMAICA	JAM	NETHERLANDS ANTILLES	NLD
JAPAN	JPN	NEW CALEDONIA	FRA
JORDAN	JOR	NEW HEBRIDES (VANUATU)	VUT
KAMPUCHEA	KHM	NEW ZEALAND	NZL
KAZAKHSTAN	KAZ	NICARAGUA	NIC
KENYA	KEN	NIGER	NER
KIRIBATI	KIR	NIGERIA	NGA
KOREA DPR (N. KOREA)	PRK	NIUE	NIU
KOREA REP OF (S. KOREA)	KOR	NORFOLK ISLAND	AUS
KUWAIT	KWT	NORTH KOREA	PRK
KYRGYZSTAN	KGZ	NORTHERN MARIANA ISLANDS	USA
LAOS	LAO	NORWAY	NOR
LATVIA	LVA	OMAN	OMN
LEBANON	LBN	PAKISTAN	PAK
LESOTHO	LSO	PALAU	PLW
LIBERIA	LBR	PALESTINE	PSE
LIBYA (ARAB REPUBLIC)	LBY	PANAMA	PAN
LIECHTENSTEIN	LIE	PAPUA NEW GUINEA	PNG
LITHUANIA	LTU	PARAGUAY	PRY

PERU	PER	TONGA	TON
PHILIPPINES	PHL	TRINIDAD AND TOBAGO	TTO
PITCAIRN ISLANDS	PCN	TUNISIA	TUN
POLAND	POL	TURKEY	TUR
PORTUGAL	PRT	TURKISH REPUBLIC OF NORTHERN CYPRUS (TRNC)	XXT
PUERTO RICO	USA		
QATAR	QAT	TURMENISTAN	TKM
REUNION	FRA	TURKS AND CAICOS ISLANDS	TCA
ROMANIA	ROM	TUVALU	TUV
RUSSIA	RUS	UGANDA	UGA
RWANDA, REP OF	RWA	UKRAINE (UKRANIAN SSR)	UKR
ST. HELENA	SHN	UNION OF MYANMAR (BURMA)	MMR
ST. KITTS AND ST. NEVIS	KNA	UNITED ARAB EMIRATES	ARE
ST.LUCIA	LCA	UNITED KINGDOM	GBR
ST. PIERRE AND MIQUELON	FRA	UNITED NATIONS - SPECIALIZED AGENCY	UNA
ST. VINCENT AND THE GRENADINES	VCT		
SAMOA (WESTERN SAMOA)	WSM	UNITED NATIONS - OTHER	UNO
SAN MARINO	SMR	UNITED STATES OF AMERICA	USA
SAO TOME AND PRINCIPE	STP	UNITED STATES MINOR OUTLYING ISLANDS	USA
SAUDI ARABIA	SAU		
SENEGAL	SEN	UPPER VOLTA (BURKINA FASO)	BFA
SERBIA	YUG	URUGUAY	URY
SEYCHELLES	SYC	USSR	SUN
SIERRA LEONE	SLE	UZBEKISTAN	UZB
SINGAPORE	SGP	VANUATU (NEW HEBRIDES)	VUT
SLOVAKIA	SVK	VATICAN (HOLY SEE)	VAT
SLOVENIA	SVN	VENEZUELA	VEN
SOLOMON ISLANDS	SLB	VIETNAM	VNM
SOMALIA	SOM	VIRGIN ISLANDS (BRITISH)	VGB
SOUTH AFRICA	ZAF	VIRGIN ISLANDS (U.S.)	USA
SOUTH Georgia AND THE SOUTH SANDWICH ISLANDS	FLK	WALLIS FUTUNA ISLANDS	FRA
		WESTERN SAHARA (PROVISIONAL NAME)	ZZZ
SOUTH KOREA	KOR		
SOVIET UNION (USSR)	SUN	WESTERN SAMOA (SAMOA)	WSM
SPAIN	ESP	YEMEN	YEM
SRI LANKA	LKA	YUGOSLAVIA	YUG
STATELESS - AS DEFINED IN 1954 CONVENTION [3]	XXA	ZAIRE (CONGO DEMOCRATIC REPUBLIC)	ZAR
STATELESS REFUGEE - AS DEFINED IN 1951 CONVENTION [3]	XXB	ZAMBIA	ZMB
		ZIMBABWE	ZWE
STATELESS REFUGEE - OTHER [3]	XXC		
SUDAN	SDN		
SURINAM	SUR		
SVALBARD AND JAN MAYEN ISLANDS	NOR		
SWAZILAND	SWZ		
SWEDEN	SWE		
SWITZERLAND	CHE		
SYRIA	SYR		
TAIWAN	TWN		
TAJIKISTAN	TJK		
TANZANIA	TZA		
THAILAND	THA		
TOGO	TGO		
TOKELAU	NZL		