



VESTOR IN PEOPLE



# Appendix 1 – Equality Relevance Assessment Pro-Forma

|                                   |   |
|-----------------------------------|---|
| <b>Department:</b> Procurement    | <b>Service:</b> Procurement Policy manual |
| <b>Completed by:</b> Dave Bennett | <b>Reviewed by:</b> David Smith           |
| <b>Date:</b>                      | <b>Date:</b> 27 March 2007                |

| Function, Policies, Procedures<br>(within each function complete a separate row for each policy/procedure) | General Information  |                      |                                   |  | Relevance to the General Legal Duties   |   | Priority  |
|--|----------------------|----------------------|-----------------------------------|--|---|---|---|
|  | A<br>Contracted Out? | B<br>Written Policy? | C<br>Partnership responsibility ? | D<br>Equality Monitoring conducted?                  | E<br>Relevant to the legal duties to:<br>1 Eliminate Discrimination<br>2 Promote Equal Opportunities<br>3 Promote good relations between different groups of people | F<br>Evidence of Relevance (to race, disability, gender, sexuality, age, religious belief, past offenders, poverty)<br><br><i>As this is an initial screening process evidence can be presumed as well as factual</i> | G<br>0 to 3<br><br>0 = no relevance<br><br>3 = high relevance /priority |
| <b>1. Purchasing Policy</b>  |                      |                      |                                   |  |   |   |   |
| General Statement of Principles  | N                    | Y                    | Y                                 | Y assessed through evaluation form for new suppliers | 1,2   | Details of contractors and supplier profiles not available. Revised Supplier evaluation form now covers questions.  | 1   |
|  |                      |                      |                                   |  |   |   |   |
|  |                      |                      |                                   |  |   |   |   |
| <b>2. General Issues</b>   |                      |                      |                                   |  |   |   |   |
| Source Derbyshire  | Y                    | Y                    | Y                                 | Follows e-tendering process                          | 1,2   | Revised Supplier evaluation form now covers questions.  | 1   |
| E Procurement  | N                    | Y                    | Y                                 | Supplier evaluation                                  | 1,2   | Revised Supplier evaluation form now covers questions.  | 1   |

| Function, Policies, Procedures<br>(within each function complete a separate row for each policy/procedure) | General Information  |                      |                                   |                                     | Relevance to the General Legal Duties   |   | Priority  |
|--|----------------------|----------------------|-----------------------------------|-------------------------------------|---|---|---|
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| <b>3. The Process</b>  |                      |                      |                                   |                                     |   |   |   |
| Guidance   | N                    | Y                    | N                                 | Supplier evaluation form            | 1,2   | Revised Supplier evaluation form now covers questions.  | 1   |
| <b>4. Equalities</b>   |                      |                      |                                   |                                     |   |   |   |
| Principles   | N                    | Y                    | N                                 | Supplier evaluation form            | 1,2   | Revised Supplier evaluation form now covers questions.  | 2   |
|  |                      |                      |                                   |                                     |   |   |   |

## Appendix 2 Pro-forma for the Initial Equality Impact Assessment

|  |                    |                        |                                       |   |
|--|--------------------|------------------------|---------------------------------------|---|
| Service  | Corporate Support  | Section Internal Audit | Person responsible for the assessment | Dave Bennett                                  |
| Name of the Function/Policy/Procedure to be assessed | Procurement Manual | Date of Assessment     | 31.10.06                              | Is this a new or existing policy?<br>Existing |

|  |                   |  |  |
|--|-------------------|--|--|
| 1. Briefly describe the aims, objectives and purpose of the function/policy/procedure                              |                   | To facilitate the procurement of goods and services within the council   |  |
| 2. Are there any associated objectives of the function/policy/procedure? Please explain.                           |                   | Procurement plays an important role in the delivery of the council's strategic objectives. Effective procurement can create savings, achieve best value and cut down on unnecessary red tape.  |  |
| 3. Who is intended to benefit from the function/policy/procedure and in what way?                                  |                   | All staff and the council in general through statements above  |  |
| 4. What outcomes are wanted from this function/policy/procedure?   |                   | Effective procurement processes for the council that ensures competitive accountable procurement and also allows equal access to suppliers to enable them to secure contracts from the council |  |
| 5. What factors/forces could contribute/detract from the outcomes?   |                   | The procurement procedure could be unduly restrictive and lead to contractors being unable to access opportunities to access contracts.  |  |
| 6. Who are the main stakeholders in relation to the function/policy/procedure?                                     | Business managers |  | 7. Who implements the function/policy/procedure and who is responsible for it?<br>Officers who have authority to award contracts and place orders  |
| 8. Are there concerns that the function/policy/procedure <b>could</b> have a differential impact on racial groups? | Y                 | N  | Please explain<br>Access to contract opportunities for EM contractors can be difficult. The policy encourages recognition of arrangements for small (SME) contractors. Contracts over 10k are monitored by procurement |
| What existing evidence (either presumed or otherwise) do you have for this?  |                   |  |  |
| 9. Are there concerns that the policy <b>could</b> have a differential impact on men or women?                     | Y                 | N  | The policy requires contractors to have EO Policies in place   |
| What existing evidence (either presumed or otherwise) do you have for this?  |                   |  |  |

|   |   |   |   |
|---|---|---|---|
| 10. Are there concerns that the policy <b>could</b> have a differential impact on people with disabilities?                                     | Y | N | See above   |
| What existing evidence (either presumed or otherwise) do you have for this?   |   |   |   |
| 11. Are there concerns that the policy <b>could</b> have a differential impact on people due to their sexual orientation?                       | Y | N | See above   |
| What existing evidence (either presumed or otherwise) do you have for this?   |   |   |   |
| 12. Are there concerns that the policy <b>could</b> have a differential impact on people due to their age?                                      | Y | N | See above, but age is not specifically covered in the policy questionnaire. No evidence would suggest age can impact on award – not relevant. |
| What existing evidence (either presumed or otherwise) do you have for this?   |   |   |   |
| 13. Are there concerns that the policy <b>could</b> have a differential impact on people due to their religious beliefs?                        | Y | N | See above   |
| What existing evidence (either presumed or otherwise) do you have for this?   |   |   |   |
| 14. Are there concerns that the policy <b>could</b> have a differential impact on people due to them having dependants/caring responsibilities? | Y | N | See above   |
| What existing evidence (either presumed or otherwise) do you have for this?   |   |   |   |
| 15. Are there concerns that the policy <b>could</b> have a differential impact on people due to their offending past?                           | Y | N | See above   |
| What existing evidence (either presumed or otherwise) do you have for this?   |   |   |   |

|  |     |    |   |   |    |
|--|-----|----|---|---|----|
| 16. Are there concerns that the policy <b>could</b> have a differential impact on people due to them being transgendered or transsexual? |     | Y  | N   | The EP questionnaire covers this area                               |    |
| What existing evidence (either presumed or otherwise) do you have for this?  |     |    |   |   |    |
| 17. Are there concerns that the policy <b>could</b> have a differential impact on people due to their experience of poverty?             |     | Y  | N   | Not relevant as financial check are carried out on company by audit |    |
| 18. Could the differential impact identified in 8-17 amount to there being the potential for adverse impact in this policy?              | YES | NO | Please explain<br>(Certain disadvantaged groups could be discriminated against if they are not included in the questionnaire) Tendering companies are assessed on their ability to perform to the requirements of the contract / RFQ. |   |    |
| 19. Can this adverse impact be justified on the grounds of promoting equality of opportunity for one group? Or any other reason?         | YES | NO | Please explain for each equality heading (question 8-16) on a separate piece of paper   |   |    |
| 20. Should the policy proceed to a partial impact assessment   | YES | NO | 21. If Yes, is there enough evidence to proceed to a full EIA?  | YES   | NO |
|  |     |    | 22. Date on which Partial or Full impact assessment to be completed by  | N/A   |    |

Signed (completing officer)     Dave Bennett     27 March 2007     David Smith    

Signed (Lead Officer)

## Appendix 3 Pro-forma for Partial Impact Assessment

|  |  |         |                         |                                       |                                  |                                     |                           |
|--|--|---------|-------------------------|---------------------------------------|----------------------------------|-------------------------------------|---------------------------|
| Service  |  | Section |                         | Person responsible for the assessment |                                  | Date of the assessment              |                           |
| Name of the function/policy/procedure to be assessed   |  |         |                         |                                       | Is this a new or existing policy |                                     |                           |
| 1. In what areas are there concerns that the function/policy/procedure <b>could</b> have a differential impact? (please circle)  |  |         | <b>Race</b>             | <b>Gender</b>                         | <b>Disability</b>                | <b>Age</b>                          | <b>Sexual Orientation</b> |
|  |  |         | <b>Religious Belief</b> | <b>Dependents</b>                     | <b>Offending past</b>            | <b>Transgendered or Transsexual</b> | <b>Poverty</b>            |
| 2. What are the concerns that the function/policy/procedure <b>could</b> have a differential impact on relevant groups? Please explain (please continue on a separate piece paper) |  |         |                         |                                       |                                  |                                     |                           |
| 3. What existing evidence (either presumed or otherwise) do you have for this? (please continue on a separate piece paper)   |  |         |                         |                                       |                                  |                                     |                           |
| 4. What are the risks associated with the differential impacts identified in the answer to question 2?   |  |         |                         |                                       |                                  |                                     |                           |

|  |  |           |  |  |
|--|--|-----------|--|--|
| <p><b>5.</b> Please state clearly the expected benefits of the function/policy/procedure</p>   |  |           |  |  |
| <p><b>6.</b> Are there any experts/relevant groups who you can approach to explore their views on the issues?</p>                                      | <p>YES</p>   | <p>NO</p> | <p><b>7.</b> Please list the relevant groups/experts</p>                   |  |
| <p><b>8.</b> How will the views of these groups be obtained? (please tick)</p>   | <p>Letter <input type="checkbox"/></p> <p>Meetings <input type="checkbox"/></p> <p>Interviews <input type="checkbox"/></p> <p>Telephone <input type="checkbox"/></p> <p>Workshops <input type="checkbox"/></p> <p>Fora <input type="checkbox"/></p> <p>Questionnaires <input type="checkbox"/></p> <p>Other <input type="checkbox"/></p> |           | <p><b>9.</b> Please list the date when each group/expert was contacted</p> |  |
| <p><b>10.</b> Please explain in detail the views of the relevant groups/experts on the issues involved. (please use a separate sheet if necessary)</p> |  |           |  |  |

|   |            |           |  |  |  |  |
|---|------------|-----------|--|--|--|--|
| <b>11.</b> Taking into account the views of the groups/experts, and the available evidence, please clearly state the risks associated with the policy, weighed against the benefits of the policy. (please continue on a separate sheet if necessary) |            |           |  |  |  |  |
| <b>12.</b> As a result of this assessment is a Full Impact assessment necessary?  | <b>YES</b> | <b>NO</b> | <b>13.</b> Date on which the Full assessment to be started |  | <b>14.</b> Date on which the Full assessment to be completed |  |

Signed (completing officer) \_\_\_\_\_

Signed (Lead Officer)

