

Shaping Dorset Council

Before completing this EqIA please ensure you have read the EqIA Guidance Notes

Equality Impact Assessment (EqIA)			
Title	Tranche 1 – Agreed Transitional Structure		
Date assessment started:	22/07/2019	Version No:	v1.2
		Date of completion:	14/08/19
Type of strategy, policy, project or service			
Is this Equality Impact Assessment (please tick)			
Existing	<input type="checkbox"/>	Changing, update or revision	<input type="checkbox"/>
New or proposed	<input checked="" type="checkbox"/>	Other (please explain)	<input type="checkbox"/>
Is this Equality Impact Assessment (please tick)			
Internal	<input checked="" type="checkbox"/>	External	<input type="checkbox"/>
		Both	<input type="checkbox"/>

This report was created by	
Name	Huma Qureshi
Job Title	HR Consultant
Email address	huma.queshi@ameogroup.com
Members of the assessment team	Mike Dearing (Senior Consultant)

Step 1: Aims
What are the aims of your strategy, policy, project or service?
<p>The overall goal for the “Transitional Structures” project was to converge 6 sovereign organisations (Dorset County Council, Purbeck District Council, East Dorset District Council, Dorset Councils Partnership (West Dorset District Council, Weymouth & Portland Borough Council and North Dorset District Council)) into one Unitary Authority, and bring them together as a single, effective and joined up organisation, in a manner which would achieve cost savings, by identifying some quick wins for efficiencies, but without redesigning the service.</p>

The aim was to realise the goal by removing duplicated management posts and compressing layers of management.

It is important to note that this transitional structure is likely to change again as a result of potential service modelling through the transformation programme.

The aims for implementing a transitional structure were:

1. To balance the budget for 2019/20.
2. To reduce the number of managers without reducing the level of service, while ensuring legal compliance and safety is maintained.
3. To reduce duplication of work by compressing levels within the structure and increasing spans of control.
4. To centralise / streamline corporate functions such as Finance, HR and IT, removing posts embedded in other teams.
5. To identify low-risk opportunities for voluntary redundancy.

This document is an additional document from the document dated 14/12/2018, which was submitted with the original business case.

What is the background or context to the proposal?

On 01/04/2019, the 6 Councils, defined above, converged into one single unitary.

The vision for the new organisation is to become a single, effective and joined-up organisation which attracts, retains and develops top talent to enthusiastically serve customers and to work in collaboration with partners and associates.

The initial aims of the emerging Council are to:

1. Remove duplication.
2. Improve efficiency.
3. Safeguard frontline services.
4. Ensure clear reporting lines (leading to increased accountability).

However, a total budget gap for 2019/20 of £15.4M has been identified. The Local Partnerships Business Case has projected that this could be recovered, in part, through cost savings of around £10.1m (subject to change), which would be achievable by rationalising a focussed number of service areas. The service areas which were identified as being in scope of this piece of work, mainly sat within the Place Directorate, the Corporate Development Directorate and Legal & Democratic Services. However, other parts of the organisation were brought also in scope. Further details can be found in the Transitional Structures Business Case, dated 18/12/2018 and the various close of consultation documents, which were published on 24/05/2019.

The design principles that were followed for this project were:

1. Use contribution levels to compare like-for-like across the Sovereign Councils (please see below and refer to appendix 1).
2. Look to remove duplication (across structures and up and down) from the current contribution levels in the existing structures.
3. Propose a low number of organisational layers - target of 6 contribution levels.
4. Ensure consistency and higher direct 'Spans of Control' (number of people reporting directly into a manager).
5. Group work into one 'functional team' to serve the entire geography.
6. Support the 'one functional team' principle; embedded functions used only where the one 'functional team' principle above would cause critical business continuity issues.
7. Ensure no vacant posts are built into structures.

By "One functional team", we meant not having similar work carried out by small teams throughout the organisation.

Contribution levels were determined by:

1. Salary and grades.
2. Hierarchy (who the post reports into and the number / nature of direct reports).
3. Job descriptions where available.

Based on the aims and principles defined above, the following 8-step process was followed to design the proposed transitional structure for Dorset Council:

1. Existing resources were allocated to one of 20 key service areas to provide for business continuity.
2. Managers and their resources responsible for the delivery in each of those key service areas were identified.
3. Each manager's current contribution level was analysed, giving regard to who currently reports to them and the size of their teams, who they currently report to, current salary and available Job Description information.
4. Proposed operational units for the new Council were constructed using the design principles and knowledge of what other Unitary Authorities had done.
5. The best fit for these operational units was determined.
6. Posts which might no longer be required if the proposed new posts were to be created were identified (please see below for further detail).
7. New Corporate Director posts which would be required to drive the transformation vision were proposed.
8. Proposed opportunities to transition support functions to Directorates (e.g. HR Business Partners and Personal Assistants) were identified.

The steps stated below were followed to determine which roles should be created and which might no longer be needed:

1. All Sovereign Councils were observed for common themes to rationalise.
2. This common activity was identified and subsequently verified with the Heads of Paid Service.
3. Thought was given on how this common activity could be integrated.
4. Posts that would be at least in part affected by the creation of the proposed new posts were identified.
5. Certain managerial posts, from those identified above, were proposed for deletion, to reduce duplication.
6. Staff sitting below this level were untouched, but were allocated to new managers where their current manager was in a post proposed for deletion.

Overall, there will be a net loss of 116 posts in tranche 1, and it is believed that this will not be detrimental to service delivery, as this piece of work principally addressed duplication of management activity and not changes to service.

Task	Indicative Dates
Tranche 1a	
Consultation commences.	21/01/2019
Consultation ends.	18/03/2019
Structure finalised.	22/03/2019
Expression of interest forms submitted by.	31/03/2019
Expression of interest forms reviewed.	01/04/2019
Voluntary redundancy requests submitted.	25/04/2019
Selection for new posts by.	25/04/2019
Appointments confirmed.	25/04/2019
Redundancy notice served.	26/04/2019
Commencing new posts.	01/05/2019
Employees to leave the organisation.	19/07/2019
Tranche 1b	
Consultation commences.	21/01/2019
Consultation ends.	25/04/2019
Voluntary redundancy requests submitted.	25/04/2019
Structure finalised.	22/05/2019
Redundancy notice served by.	24/05/2019
Expression of interest forms submitted by.	09/06/2019
Expression of interest forms reviewed.	14/06/2019
Selection for new posts by.	19/07/2019
Appointments confirmed.	19/07/2019
Commencing new posts by.	22/07/2019
Employees to leave the organisation	23/08/2019

Please note that the timelines originally proposed changed as a result of the consultation period being extended from a minimum of 45 days to a minimum of 90 days, following an agreement with the Trade Unions.

Step 2: Intelligence and Communications

What data, information, evidence and research was used in this EqIA and how has it been used to inform the decision-making process?

The Diversity data used was that which was currently available from within all 6 Sovereign Councils.

The following process was used to analyse the impact:

1. Summary data was obtained for the entire workforce in all Councils.
2. Summary data was obtained for employees linked to the posts which were deleted in Tranche 1 of the transitional structure implementation.
3. Both datasets were converted into percentages.
4. The percentages were analysed to establish whether there is likely to be an adverse effect on any particular protected characteristic.

The following documents provided additional information in relation to the scope and methodology of the proposed changes:

1. Transitional structures business case, dated 18/12/2018.
2. Consultation presentation, dated 21/01/2019.
3. Section 188 letter, dated 21/01/2019.
4. Walk through the transitional structure and consultation, dated 14/02/2019.

Both quantitative (data for each individual protected characteristic) and qualitative (commentary) information has been provided in step 3, and any adverse impacts have been highlighted.

Additionally, the following external sources used as part of the research:

1. Geo Wessex Website.
2. ACAS Guide to EqIAs.
3. Equality Act – Section 149.
4. EHRC – Guidance for English Public Bodies.
5. EHRC – Guidance for Public Authorities.

What data do you already have about your service users, or the people your proposal will have an impact on?

We obtained the available employee diversity breakdown data in terms of sex, age, disability, ethnicity, religion / belief and sexual orientation.

It is important to note that very limited data was available for pregnancy & maternity and gender re-assignment and that no data was available for marriage & civil partnership.

It is also important to note that there was no data available for the additional 5 categories of protected characteristics that are considered important in Dorset (carers, rural isolation, poverty, single parents, and people with a military background).

The data we were able to obtain is as follows:

Disability		
Category	Overall Workforce (%)	Deleted Posts (%)
Disabled	2.88	4.62
Not Disabled	55.31	62.56
PNTS	7.66	2.05
Not Declared	34.15	30.77
Total	100.00	100.00

Sex		
Category	Overall Workforce (%)	Deleted Posts (%)
Male	38.73	47.69
Female	61.27	52.31
Total	100.00	100.00

Age		
Category	Overall Workforce (%)	Deleted Posts (%)
13-15	0.27	0.00
16-24	7.04	1.54
25-39	23.11	12.31
40-49	22.53	28.20
50-59	29.92	44.62
60-64	10.43	12.31
65+	6.70	1.02
Total	100.00	100.00

Ethnicity		
Category	Overall Workforce (%)	Deleted Posts (%)
White British	66.36	90.26
White Irish	0.04	0.00
White Other	2.18	0.51
BAME	1.13	0.00
Mixed Race	0.04	0.00
PNTS	8.54	1.54
Not Declared	21.71	7.69
Total	100.00	100.00

Sexual Orientation		
Category	Overall Workforce (%)	Deleted Posts (%)
Heterosexual	37.13	42.57
Lesbian / Gay	0.58	0.00
Bisexual	0.16	0.51
Other	0.27	0.00
PNTS	7.04	2.56
Not Declared	54.82	54.36
Total	100.00	100.00

Religion / Belief		
Category	Overall Workforce (%)	Deleted Posts (%)
Christian	15.14	16.41
Buddhist	0.14	0.00
Hindu	0.02	0.00
Jewish	0.02	0.00
Muslim	0.02	0.00
Other	0.72	0.00
No Religion	10.99	10.26
PNTS	4.02	2.05
Not Declared	68.93	71.28
Total	100.00	100.00

Please note the following:

1. PNTS means “prefer not to say”.
2. The staff in the 13-15 age category are all “Casual Swim Helpers”.
3. The data does not include employees working at Tier 2 in the sovereign councils as their posts were deleted prior to the commencement to the transitional structures project.
4. A deeper dive into the data is included in appendix 2.
5. The numbers in the data have changed since the submission of the first document in December 2018, due to the following reasons:
 - Staff being TUPE’d in and out between Dorset Council and Bournemouth, Christchurch & Poole Council.
 - All feedback received during the consultation period being carefully considered, and employees being brought in and out of scope as a result.

What engagement or consultation has taken place as part of this EqIA?

Engagement took place with key HR contacts in all 6 Sovereign Councils, to acquire the relevant and available data held within their systems.

In terms of the actual proposals set out in the Business Case, group consultation sessions took place in January, which the affected employees and the Trade Union representatives were invited to attend.

Additionally, 1:1 sessions were arranged for at risk employees within CED and PDC with the relevant CEOs, and drop-in sessions were arranged for at-risk employees within DCC and DCP, which were led by either the CEO or an Executive Director.

Furthermore, all employees (whether at risk or not) had access to consultation information on SharePoint, as well as the opportunity to send queries or feedback to the email address created specifically for this project (sdcc.consultation@dorsetcc.gov.uk).

For absent employees or employees who did not have access to SharePoint, the process was for the line-manager to keep them informed of the consultation and ensure that they were invited to participate. A list of absent employees was also maintained centrally, including the name of the manager who was keeping them informed.

However, for these specific consultations, all at risk employees present within the business, had access to the intranet due to the nature of their role.

Is further information needed to help inform this proposal?

During and on conclusion of consultation, all feedback received was collated, analysed and used to inform the final and approved transitional structure.

How will the outcome of consultation be fed back to those who you consulted with?

The final outcome and agreed transitional structure was communicated to Trade Unions on 21/05/2019 by David McIntosh, Interim Corporate Director for Human Resources and Organisational Development.

This information was subsequently communicated to employees on 22/05/2019 via email with all relevant documentation being uploaded to the intranet and links provided.

Step 3: Assessment

Who does the service, strategy, policy, project or change impact?

If your strategy, policy, project or service contains options you may wish to consider providing an assessment for each option. Please cut and paste the template accordingly.

For each protected characteristic please choose from the following options:

Positive Impact	<ul style="list-style-type: none"> • <i>Positive impact on a large proportion of protected characteristic groups</i> • <i>Significant positive impact on a small proportion of protect characteristics group</i>
Negative Impact	<ul style="list-style-type: none"> • <i>Disproportionate impact on a large proportion of protected characteristic groups</i> • <i>Significant disproportionate impact on a small proportion of protected characteristic groups.</i>
Neutral Impact	<ul style="list-style-type: none"> • <i>No change/ no assessed significant impact of protected characteristic groups</i>
Unclear	<ul style="list-style-type: none"> • <i>Not enough data/evidence has been collected to make an informed decision.</i>

Please note in some cases more than one impact may apply – in this case please state all relevant options and explain in the 'Please provide details' box.

Age	<i>Negative Impact.</i>
What age bracket does this affect?	The age bracket of 50-59 is adversely affected.
Please provide details	<p>29.92% of the workforce is between 50 & 59, but 44.62% of the employees aligned to the posts which are being deleted are within this age group.</p> <p>This is probably due to the fact that this scope of this work is principally targeting managers (levels 3, 4 & 5).</p>

	<p>46.36% of managers whose posts were deleted as part of T1 fall within this age bracket.</p> <p>Out of the 70 employees whose posts were deleted and who fell within this age bracket, 47 were male and 23 were female.</p>
Disability	<i>Negative Impact.</i>
Does this affect a specific disability group?	Not known from the given data.
Please provide details	2.88% of the workforce have identified themselves as having a disability, but 4.62% of the employees aligned to the posts which are being deleted have identified themselves as having a disability.
Gender Identity	<i>Unclear Impact.</i>
Please provide details	Insufficient and therefore incomplete data is available to be able to analyse this.
Pregnancy and maternity	<i>Unclear Impact.</i>
Please provide details	We are aware of 5 employees who were either pregnant or on maternity leave between the submission of the first EqIA and the second one.
Race and Ethnicity	<i>Negative Impact.</i>
Please provide details	<p>66.36% of the workforce have identified themselves as White / British, but 90.26% of the employees aligned to the posts which are being deleted are within this ethnic group.</p> <p>This is probably due to the fact that a large proportion of the overall workforce (21.71%) has not declared their ethnic group and looking at the general ethnic breakdown in Dorset (95.6% according to 2011 Census), it is highly likely that many of the undeclared employees are White / British, and this would lead to a neutral impact if they had declared their ethnic group.</p>
Religion or belief	<i>Unclear Impact.</i>

Please provide details	Whilst there is some data, a large proportion of staff have not completed this information and as such there is not enough information to analyse.															
Sexual orientation	<i>Unclear Impact.</i>															
Please provide details	Whilst there is some data, a large proportion of staff have not completed this information and as such there is not enough information to analyse.															
Sex	<i>Negative Impact.</i>															
Please provide details	<p>This work is principally targeting managers (levels 3, 4 & 5). 151 employees whose posts were deleted as part of T1 were managers.</p> <p>The box below details the sex breakdown of the workforce:</p> <table border="1" data-bbox="724 987 1249 1263"> <thead> <tr> <th colspan="3">Sex</th> </tr> <tr> <th>Category</th> <th>Overall Workforce (%)</th> <th>Deleted Posts (%)</th> </tr> </thead> <tbody> <tr> <td>Male</td> <td>38.73</td> <td>47.69</td> </tr> <tr> <td>Female</td> <td>61.27</td> <td>52.31</td> </tr> <tr> <td>Total</td> <td>100.00</td> <td>100.00</td> </tr> </tbody> </table> <p>47.69% (89 male) of the employees in managerial posts being deleted are male. 52.31% (62 female) of the employees in managerial posts being deleted are female.</p> <p>Overall 195 roles were deleted of which 151 were managerial and 44 were non-managerial.</p> <p>This proportion relates to more males being in roles at levels 3,4 & 5 of the organisation than females.</p>	Sex			Category	Overall Workforce (%)	Deleted Posts (%)	Male	38.73	47.69	Female	61.27	52.31	Total	100.00	100.00
Sex																
Category	Overall Workforce (%)	Deleted Posts (%)														
Male	38.73	47.69														
Female	61.27	52.31														
Total	100.00	100.00														
Marriage or civil partnership	<i>Unclear Impact.</i>															
Please provide details	No data is available to be able to analyse this.															
Carers	<i>Unclear Impact.</i>															

Please provide details	No data is available to be able to analyse this.
Rural isolation	<i>Unclear Impact.</i>
Please provide details	No data is available to be able to analyse this.
Single parent families	<i>Unclear Impact.</i>
Please provide details	No data is available to be able to analyse this.
Poverty (social & economic deprivation)	<i>Unclear Impact.</i>
Please provide details	No data is available to be able to analyse this.
Military families/veterans	<i>Unclear Impact.</i>
Please provide details	No data is available to be able to analyse this.

Please note the following points:

- There are large gaps in the data gathered where characteristics have not been declared.
- This is only a draft document at this stage, and will remain so until signed off by all relevant parties defined in the EqIA guidance.

Step 4: Action Plan

Provide actions for **positive**, **negative** and **unclear** impacts.

If you have identified any **negative** or **unclear** impacts, describe what adjustments will be made to remove or reduce the impacts, or if this is not possible provide justification for continuing with the proposal.

Issue	Action	Person(s) responsible	Deadline	How will it be monitored?
Negative impact on age group 50-59. *	<p>An explanation has already been provided as to why the impact is disproportionate. We will continue to monitor the impact and address any impacts identified throughout the implementation process.</p> <p>We can also confirm that there are a range of learning, development and well-being activities designed to support all employees impacted by this process across all age brackets (details can be found in appendix 3).</p> <p>*Whilst the impacts cannot be mitigated against, the justification is in order to make financial savings in Dorset, the LGR process was to converge 6 sovereign organisations (Dorset County Council, Purbeck District Council, East Dorset District Council, Dorset Councils Partnership (West Dorset District Council, Weymouth & Portland Borough Council and North Dorset District Council)) into one Unitary Authority, and bring them together as a single, effective and joined up organisation.</p>	Corporate Directors	On-going with monthly or quarterly reviews until May 2020.	Further analysis following implementation.
Negative impact on men.*	<p>An explanation has already been provided as to why the impact is disproportionate. We will continue to monitor the impact and address any impacts identified throughout the implementation process.</p> <p>We can also confirm that there are a range of learning, development and well-being activities designed to support all employees impacted by this process across all genders (details can be found in appendix 3).</p>	Corporate Directors	On-going with monthly or quarterly reviews until May 2020.	Further analysis following implementation.

	*Whilst the impacts cannot be mitigated against, in order to make financial savings in Dorset, the LGR process required convergence of 6 sovereign organisations (Dorset County Council, Purbeck District Council, East Dorset District Council, Dorset Councils Partnership (West Dorset District Council, Weymouth & Portland Borough Council and North Dorset District Council)) into one Unitary Authority, bringing them together as a single, effective and joined up organisation.			
Communication	Ensuring that all employees, including those on long-term sick leave, maternity leave and sabbatical leave continue receive regular communication.	Line Managers	As & When Communications are released.	HR team to have overview of process.
Ensuring selection process is fair	Reasonable adjustments will be made to ensure that employees with disabilities are not disadvantaged.	Corporate Directors	19/07/2019	HR team to have overview of process.
Mitigate any negative impact on mental health (stress)	Ensuring that there is effective and meaningful communication with all employees who are impacted and the wider organisation, and that all feedback is carefully considered and appropriately acted on, before the new structure is finalised. Also ensuring that they are aware of all training and well-being support available (details can be found in appendix 3).	Executive Directors / Ameo Group / HR Team	On-going with monthly or quarterly reviews until May 2020.	HR team to monitor the process.
Mitigating financial hardship	Employees placed at risk who are aged 55 or over will have the opportunity for early access to their pension scheme, without any actuarial reduction. All at risk employees will have the opportunity to apply for voluntary redundancy, which are enhanced terms. Redundancy estimates will be based on a minimum weekly salary of at least £351.34, to assist employees on low incomes.	Chief Executive / HR Team	Continuous.	HR team to monitor process for consistency.

	<p>Additionally, employees who assume posts at lower salaries will have pay protection for 18 months for a maximum in line with their Sovereign Council's terms and conditions.</p> <p>Notice periods / redeployments will be for a minimum of 13 weeks to allow additional time to help find alternative positions.</p>			
Encouraging a culture where sensitive information is declared	<p>The whole Council will promote a culture where employees are happy to share sensitive information by reiterating that the data will be stored confidentially and will only be used to monitor the diversity breakdown of the workforce.</p> <p>In the meantime, the following action will take place to encourage employees to share the relevant information:</p> <ul style="list-style-type: none"> • Article in the HR newsletter. • Article in Union newsletters. • Liaison with HR support groups. 	HR Team / Diversity Officers	To follow.	Through periodic data checks.

Step 5: EqIA Sign off			
Officer completing this EqIA	Huma Qureshi (HR Consultant)	Date	05/06/2019 (initial draft) 22/07/2019 (amended) 13/08/2019 (further amendments)
Diversity Action Group Chair	Dr David Bonner	Date	14/08/19