

Equality Data Collection and Monitoring Guidance

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Summary of Key Points

- Understanding the equality impact of our services and practices on different groups is a requirement under the Equality Act 2010 and helps service planning and improvement
- You need to consider all of the ‘protected characteristics’ when thinking about equality monitoring, although what you need to collect in practice may vary from one service to the next
- Where possible, incorporate equality monitoring into existing processes
- Take full consideration of data protection issues when collecting and handling equality data
- Use equality monitoring to really inform service development and improvement and take action where differences exist between groups.

1. About this document

If you are responsible for managing a service, function, major project, work stream or consultation process, this guidance is for you. It explains how to consider if equality data collection is appropriate, how to collect it, and what to do with the information when it is collected. If information is already being collected, this guide gives you the opportunity to review the scope and effectiveness of it.

Although this document is intended to help guide managers in their consideration of whether equality data collection arrangements need to be developed, it is impossible for the guidance to be prescriptive. Ultimately managers need to make judgments relating to their service area and take responsibility for the outcomes. However, representatives from the Equality and Diversity Steering Group are there to provide advice (see Appendix 2).

The purpose of this document is to help managers standardise the monitoring process and support the council in meeting the above requirements.

If your service is already collecting information because of a legal or statutory requirement to do so, please continue as directed. This guide does not overrule such requirements.

2. Why do we need to collect and monitor equality data?

Northumberland County Council employs and provides services to people who have a variety of different needs. Equality is not about treating everyone the same, instead we need to make sure that we respond appropriately to different needs. We particularly need to make sure that we understand and have taken account of the needs of those who are most deprived, disadvantaged and marginalized in our communities. In order to do this, we need to gather information regarding the impact of our services and functions on different groups. We also need to make sure that we are using this information to inform service planning and improvement.

Where possible and appropriate, under the Equality Act 2010 the Council is required to measure the impact of services on different groups, specifically in relation to; Race, Gender (including Transgender), Disability, Age, Sexual Orientation, Pregnancy and Maternity and Religion and Belief. It is not adequate that we assume that equality of opportunity is being provided for these groups, even if complaints are not received. The Council needs to be able to demonstrate that it has fully considered the impact of services, and the way they are being delivered, on different groups and to do this it needs to collect appropriate data and have monitoring arrangements in place.

Monitoring employment, service usage and satisfaction by equality groups (called “protected characteristics” in the Equality Act 2010) is important to enable the Council to show that the services it delivers are meeting the needs of all service users and potential service users and that its employment practices are meeting the needs of its employees and potential employees. Equality

monitoring is key to the effective performance management of the organisation and contributes to improvements in services and the way they are delivered.

Other reasons for Equality Monitoring include that it:

- Is recommended as good practice
- Is a way of identifying if any policies or services are adversely affecting people and is an important requirement of the Council's Equality Impact Assessment process – details can be found on the County Council website
- Assists service planning – monitoring is vital for planning, targeting and measuring development in service provision. It can show inefficiencies in the way we organise services and indicate new opportunities to meet people's needs
- Meets legal requirements – there is a legal duty to take account of equality issues when planning and delivering services and developing policies.
- Meets the criteria for accessing financial and other resources from external sources many funding organisations now require assurance from bidders that they meet equalities and diversity requirements.
- Provides information for inspections – the Government requires evidence that we know who our communities and customers/service users are. The Equality and Human Rights Commission will monitor how effectively we are meeting our equality duties.

It can also tell us about:

- Our staff and service users and their potential needs
- Which groups are using our services and how satisfied they are with them
- Who works for the County Council and whether we are recruiting a diverse workforce that is representative of Northumberland
- If our policies are effective – unless we know who is, and more importantly who is not using our services, and what people think of them, we cannot tell if we are achieving our aims of providing services that are appropriate and accessible to everyone.

This data can then be used to:

- Highlight possible inequalities
- Investigate their underlying causes; and
- Remove any unfairness or disadvantage.

3. Key Steps in Equality Monitoring

The following sections outline the key steps to take in deciding what information should be collected, when and how, and also how this information should be used.

Step 1 – What information needs to be collected?

Firstly it is important to point out that this guide does not override any other legal or statutory requirement you may have regarding data collection and monitoring for your service - so if you are already collecting information relating to any of the protected characteristics because of a particular requirement to do so, continue as directed.

However, if you are collecting any statistical information from customers, clients or organisations relating to any of the below protected characteristics, you will usually need to extend this to include all characteristics, unless there is a particular reason not to do so (see Step 2 - exceptions):

- Race
- Gender, including transgender
- Disability
- Age
- Sexual Orientation
- Religion and Belief

Each service is expected to monitor the following by the protected characteristics:

- Take up or non-take up of services, as appropriate
- Employment statistics: recruitment, promotion, disciplinary, grievances
- Training and employment tribunal cases
- Customer complaints
- Customer satisfaction.

Depending on the nature of your service, you might also decide that it is important to monitor additional areas, for example:

- Single parents
- Number of children
- If someone is a carer
- County of birth
- Economic status
- Marital status
- Post code
- Household income.

Step 2 – When does information need to be collected?

It will not always be appropriate to monitor all functions and services provided by the Council, nor will it be necessary. However, there will be times when it is useful to monitor who is and who isn't benefiting from the services /employment opportunities being provided. It may be important to show

that a representative group of people have been consulted for key decisions such as budget and financial planning decisions. The exact frequency of monitoring can vary according to function or service and may be:

- A one off time limited snapshot exercise
- An ongoing and continuous process with regular review
- Periodically (monthly, quarterly, annually, etc).

The relationship you have with your customers will assist you in determining when the most effective and appropriate time to carry out equality monitoring is. For example, equality monitoring could be carried out at the first point of contact or as part of an exit survey or customer satisfaction survey.

Exceptions

There may be occasions where monitoring is not appropriate such as:

- Due to the nature of the service, it would be irrelevant, inappropriate or insensitive to ask for the data
- In order to collect the information, it would require putting arrangements in place that would be unreasonably burdensome on an individual or the Council
- Where the outcomes of analysing the information could in no way lead to changes to the service or how the service is provided, as this is dictated by legal or statutory requirements.

EXAMPLE: It may be that it is not appropriate to collect data regarding customer take up in a service like Refuse Collection as everyone receives this service regardless. It may instead be useful to collect data regarding the take up and possibly satisfaction rates among those customers who have opted for an assisted bin emptying service as this could indicate if customers with mobility problems are aware of the service and whether it is effective at meeting their particular needs.

EXAMPLE: It would probably not be beneficial to collect data regarding satisfaction rates among customers who have received Council Tax Enforcement. However it may be useful to know who has received this service in case this data identifies any trends for groups less likely to or having greater difficulty, paying council tax bills. This data would prompt further investigation into the causes.

EXAMPLE: It may not be necessary to collect data on age if a service is aimed at a particular age group e.g. young people 13 to 19, however it may be useful to know the gender split or number of young people with a disability who are using youth services in the County.

In addition, for some services, disability and age (which is to an extent a proxy for disability) may be the only seriously relevant things to monitor - e.g. it may seem reasonable to ask about those when getting feedback about car parking or bin collection arrangements, when it might seem intrusive to ask about religion or sexual orientation.

Things to consider prior to implementing equality monitoring:

The first and most important question to ask is what is it that you are looking to find out or prove with the information being collected? It is important that customers are confident as to the reason why they are being asked for the information, they know what the information will be used for and how the data will be stored confidentially. It is preferable not to attach monitoring information to personal details if possible. The following questions may prove useful to help clarify what monitoring is needed:

- What information will be useful and will lead to improvements in service planning for different sections of the community?
- What will the information tell us about our users and about our service?
- How often can the data be collected and analysed?
- Who is using the service?
- Are different communities accessing the service differently?
- Who are most/least satisfied with our service?

You will also need to consider:

- What methods will be used to collect the information?
- What resources are available for this work?
- Will the data help to set meaningful equalities targets?
- Have data protection requirements been considered?

Procurement (Monitoring voluntary and community groups, businesses and other organisations)

Equality monitoring in relation to procurement enables you to ensure that contracts are delivered in a way which promotes equality of opportunity. As the number of contracts with private and voluntary organisations for goods, works and services increases equality and diversity must be considered as an integral part of each contract.

At the tender and project initiation stages you should be clear about equality considerations and ensure that these are included. They can be formally considered within the contract management process. You need to develop and agree monitoring information at the start of any relationship with the organisation, whether that is a funding agreement or a contract .

You will need to decide what you actually want to monitor. For example, how useful will information solely about the organisation be? Would more detailed information about the beneficiaries of the service be more useful? It is important to recognise that, dependant on how representative the organisation is, this may impact on its ability to deliver services. In respect of this you should understand the make up of their workforce and ensure they have equality policies in place and are aware of our policies.

Step 3 – How to collect the information?

Monitoring can be undertaken in a variety of different ways and at different points in your interaction with customers, this may include:

Written surveys

Anonymous surveys, which are sent to customers to capture their satisfaction after receiving a service is one of the most effective ways of capturing monitoring information. It can often have the highest rate of completion and return as it gives customers the opportunity to express their views on the service received.

Face to face

Confidentiality is often an issue when asking equality monitoring questions in public offices. Customers should never be asked monitoring questions if they are in an environment where their responses will be overheard by other customers or staff. It may be more suitable to ask customers to fill in a form themselves and place the completed form in a sealed envelope or response box and if the survey can be anonymous this increases completion rates.

Over the phone

If this information is being stored against customer's personal details it is important that staff can explain why the information is being requested, how it will be stored and what it will be used for. Any data should be collected in a way that causes the least amount of inconvenience or delay to the customer and in a way that respects a person's right to keep personal information private. Ideally it would be incorporated within other service related information being collected at the time, or when you are engaging with customers anyway.

Questions could be added to the back of any forms or questionnaires already being completed, or included in any questions already being asked face to face, over the phone, or via the internet. In most cases the completion of equality questions should be very easy and take the customer no longer than a few moments to answer.

However common sense needs to be applied here, as there will be some circumstances where this is not practical or sensible. For example, if you are only producing a small half page feedback card with only two or three quick questions relating to a service, it would not be sensible to then include a page of equality questions.

EXAMPLE: A customer applies for a leisure centre membership card, they are asked to complete a membership form. An Equality Information Form should be attached. Or when service is being requested via on-line services on the internet, a question box should be added.

EXAMPLE: In the Cemeteries Service it would be appropriate to ask a family member if a deceased relative followed a particular religion. This may directly effect the cremation or burial arrangements for the deceased person, and could effect whether the customers particular religious needs were met. This question would be asked as part of the discussion regarding the general arrangements, in a private location and with consideration and sensitivity.

It is also important to address the more practical issues, such as:

- Whether or not to monitor and the reasons why
- The subject to be monitored
- The policy context
- Who is to collect the information, when, how and from whom
- How the data is to be stored; and how long it should be held for
- How the data is to be analysed – manually or by computer
- Who is responsible for reporting the findings of equality monitoring
- What format the reports should take and their purpose
- Training for staff to enable them to answer questions or queries.

Step 4 – How do you ask the questions?

It is important to remember that while it would be helpful to the Council for monitoring forms to be completed, people have a right not to answer any questions they do not wish to.

Completion of the forms is voluntary and will not affect an individual's access to services or employment.

People must also be confident the information will be handled confidentially and in accordance with data protection act requirements. For this reason all equality monitoring needs to have a statement outlining this, which should be given to the individual to read or should be read to them. The example monitoring forms in the Appendices all include such statements.

If you are including questions within a written document or form, then if possible, use the questions given in the Appendices at the end of this guide. If questions are being asked over the telephone or face to face, then the wording may need to be tweaked accordingly.

When collecting equality information it should be clearly explained how the information will be used and held, see first paragraph on the form. If because of a legal or statutory requirement the information must be held alongside personal information, this also needs to be explained and data protection requirements will apply.

Monitoring statement

When producing a monitoring form for the public and customers ensure all the Data Protection act requirements have been met and add a thank you statement and a basic explanation of why the Council need to ask the questions.

The following statement can be used on anonymous forms.

“Northumberland County Council is committed to the principle that all our customers have the right to equality and fairness in the way they are treated and in the services that they receive. It would help us to check that we are providing services fairly if you would answer the questions below. You do not need to answer any of the following questions if you do not wish to, and you will not be affected in any way if you chose not to answer any, or some, of the questions. Any information you do give will be used to see if there are any differences in views for different groups of people, and to check if services are being delivered in a fair and accessible way. No personal information which can identify you, such as your name or address, will be used in producing equality reports. We will follow our Data Protection Act guidelines to keep your information secure and confidential.”

At the end of the form add:

“Thank you for completing this form. The information provided will help us to improve our services to you and others in Northumberland.”

If an equality form is being used in conjunction with information which means they could be identified, such as an application form or survey that asks for name and address information, then additional care must be taken to ensure Data Protection requirements are met. This includes how the information is stored and handled.

If an individual can be identified the following statement should be included before the equality monitoring questions on the forms for service users.

“Northumberland County Council is committed to the principle that all our customers have the right to equality and fairness in the way they are treated and in the services that they receive. It would help us to check that we are providing services fairly if you would answer the questions below. You do not need to answer any of the following questions if you do not wish to, and you will not be affected in any way if you chose not to answer any, or some, of the questions. Any information you do give will be used to see if there are any differences in views for different groups of people, and to check if services are being delivered in a fair and accessible way. The information in this section will be used for no other purpose than for monitoring the fairness and effectiveness of our service delivery and employment practices. No personal information which can identify you, such as your name or address, will be used in producing equality reports. We will follow our Data Protection Act guidelines to keep your information secure and confidential.”

If an individual is giving personal information they should be asked to complete a declaration this will have to be amended by the service collecting the information to list all the purposes the individuals information is going to be used for and which agencies or partners the information is going to be shared with. It should state if information is going to be held electronically or as paper copies. One of the purposes listed should be for equality monitoring.

“I confirm that I have given consent to Northumberland County Council to hold the following information which relates to me for the purposes described above.”

Monitoring categories

Basic monitoring categories (taken from the Census 2011) are the basis of the categories that will be used in NCC equality monitoring forms. See Appendix 1 for example forms and questions.

Some monitoring forms may only require a basic set of equality monitoring questions. Also, if it is anticipated that only a very small number of responses will be achieved which would only allow a very limited analysis of the data by demographic categories, then a simple version may also suffice. The type and level of data analysis required will help you to identify whether you can ask this shortened version of the equality monitoring questions

Some basic information on why we are monitoring particular equality strands has been included below. This may be useful in dealing with queries about why particular questions are being asked.

Age

People are more likely to feel positive about an organisation if they are treated fairly and with consideration regardless of their age. We must also ensure that our services are designed to meet the needs of people from all age groups.

Some services will expect to have a higher proportion of older or younger service users, e.g. youth services or adult social care. However, many other services will need to measure the age of service users to ensure that people of all ages have access to their service.

The ‘Age’ question can be asked in a number of ways. One way of asking this question is by grouping or banding a range of ages together. This is often preferred where it is anticipated that respondents may be sensitive about revealing ages or where an overview of age groups is required quickly. However, it can be restrictive in terms of re-grouping categories (e.g. if ages are not evenly spread between originally specified groups) or if a more detailed analysis of age is required.

It is worth noting that individual ages can then be re-grouped into appropriate age ranges if required. Date of birth may be more appropriate to ask if you want to calculate ages at different times (e.g. current age) or if surveying school pupils to determine year group.

Disability

This monitoring information will tell a service whether they are attracting people with different types of disability. For instance, you may be attracting physically disabled users but not those with learning disability. Monitoring of type of disability will allow you to capture this information and helps to inform service improvement.

Some people may feel sensitive about disclosing certain disabilities; therefore consideration should be given to confidentiality.

Ethnicity

Ethnic monitoring plays a key role in identifying whether Council services are attracting people from all our diverse communities. It is also important in helping us to eliminate racial discrimination, promote equality of opportunity, and promote good race relations between people of different racial groups.

Some forms may only require a basic set of equality monitoring questions. If it is anticipated that only a very small number of responses will be achieved which would only allow a very limited analysis of the data by demographic categories, then a simple version may also suffice here. In cases where a simple overview is sufficient you could use the main ethnic monitoring headings, as below:

White
Mixed / multiple ethnic groups
Asian / Asian British
Black / African / Caribbean / Black British
Other ethnic group please say what

The type and level of data analysis required will help you to identify whether you can ask this shortened version of the equality monitoring questions.

Gender & Gender identity

Gender is defined as either female or male on the Council's monitoring forms. Guidance relating to the 2001 National Census states that people should tick the gender they feel describes them, irrespective of the sex on their birth certificate.

Religion or belief

The Council's religion or belief monitoring category is used to capture individuals' religious or philosophical beliefs. Monitoring of religion or belief helps us to ensure that we are taking the needs of religious and faith groups, secular groups, or those who have no religion, into account when designing and delivering services.

Sexual Orientation

It is important for the Council to know if its services or employment practices are having an unequal impact on people with different sexual orientations.

Monitoring of sexual orientation is a sensitive issue. A number of people may not be willing to disclose their sexual orientation, particularly if they do not understand why this information is being asked.

In some cases, you will need to explain that the information will be used to ensure that local services are not having an unequal impact on different equalities groups, that the information will be confidential, and that it will be stored separately to any other paperwork they are asked to complete.

The environment in which the monitoring of sexual orientation is carried out is likely to influence people's responses. Therefore, full consideration should be given to ensuring confidentiality.

Step 5 – How to analyse the data?

The point of equality monitoring is to take action where the information shows it is necessary. It is important that the data collected is analysed and any issues identified need to be tackled. The outcomes of any monitoring exercise need to be compared to any actual targets set and any baseline data. It will also need to form part of the service / business planning process.

There are a number of sources of published data and the Council's Infonet web pages have published several useful documents based on statistics collected by various sources and the profile of the Northumberland community: <http://www.northumberlandinfonet.org.uk/>.

The [Local Government Improvement and Development website](#) also has information about good practice in local government and has published guidance on equality mapping.

You need to think in advance about what you will do with the data once it is collected. The data needs to be collected and entered either into a database or a manual system in a way that will make it easy to analyse. Periodically you need to examine the information, this could be done monthly, quarterly, every six months or even yearly depending on the frequency and number of returns, decide this in advance. You also need to allocate responsibility for the analysis of the data and how this will be done.

When analysing the information, you are looking for any signs of positive or negative differences between different groups. For example, if you are looking at take-up rates, look to see how the rates compare for different groups. Look for any trends or differences linked with other factors i.e. greater take up at different times of year for particular groups, low representation of people who live in a particular area etc. You should also look for links between different categories, more younger Asian people using a service or older disabled people showing lower satisfaction rates etc. By doing this you will get an indication of how your service is being received by different groups and if there are any possible issues that need further investigation.

Any data collected can be used for:

- Setting targets
- Evaluating service delivery and employment
- Redesigning or augmenting services
- Developing positive action programmes
- Equality Impact Assessments.

Proportion

It must be born in mind that for some groups the numbers may be very small and this may effect or distort the results of any analysis. That does not mean that the findings from minority groups should be ignored, but it may mean that further thought must be given to the next steps. If there appears to be a difference between the views of a minority group and others.

In presenting data, it is best practice to:

- Concentrate on key indicators and highlight key findings
- Present a mix of statistics, tables, and graphics
- Provide relevant explanations
- Include clear recommendations for action
- Produce equality reports on a regular basis together with other management information
- (If an individual can be traced to the monitoring figures care must be taken to anonymise the data)
- Consider the audience and ensure that the information presented is accessible and fit for purpose.

Step 6 – Establishing the reasons for differences

If you notice any differences, trends or gaps, you will need to identify if there are any known or obvious reasons for this. It is important not to jump to conclusions at this stage, so if you are not certain of the cause, further investigation will be needed. This is

necessary in order to find out the true cause of the differences, as it may be linked to an equality issue that you are not aware of.

Your first point of investigation could be to look at any other relevant information that may give you a bigger picture about the issues i.e. complaints, monitoring information from other related services, staff views etc.

EXAMPLE: Following an annual public event organised by the Council, equality monitoring data collected within the booking form showed a very low turn out of disabled people in comparison to the number of disabled people living in the area. After investigation it was believed that a lack of accessible facilities could possibly be the cause. An action was agreed that the event would be relocated to a more suitable venue the following year, and some targeted advertising would be done to attract a more representative number of disabled people. An estimated improvement target was set for the following year.

If more clarity is needed, then consultation with those groups for which there is a difference may be helpful.

Step 7 – Taking Action

Once you have identified possible causes for any differences, identify possible improvement actions and:

- Discuss these with your manager or Equality Representatives
- Gain approval to actions if needed and agree a target deadline
- Allocate responsibility and discuss expectations with those involved
- Identify a predicted improvement target for future equality data
- Update any relevant policies, guidance or procedures affected by the actions
- Communicate with, or if need be re-train any relevant employees affected by the actions
- Forward all the above information to your Group's Equality Steering Group representative
- for inclusion within your Group's Service Plan
- Give feedback on the above to those involved in consultation.

If you are not sure what the next steps should be then discuss with your Group's Equality Steering Group representative.

Step 8 - Monitoring and Reporting Improvement

It is crucial to monitor progress through the continued collection and analysis of equality data. Equality monitoring information will be required at regular intervals as part of your directorates performance management processes. You will be able to see if any actions taken have lead to an

improvement. If no improvement is shown over a period of time, it may be that the work undertaken previously did not uncover the real cause of the differences, or it may be that the actions taken have not been sufficient to address the cause. In which case consideration should be given to whether more in depth or specific consultation is required.

It may also be the case that the reduction or removal of the differences is not achievable for reasons that we may not know or understand, in which case no further action may be possible. This should only be concluded however when all reasonable investigations have been explored. Contact your Group's Equality Steering Group representative for advice.

Concerns

If you are at all concerned about the collection or use of equality data in relation to your service, please contact your Group's Equality Steering Group representative, details on the back page of this guidance.

4. Data Protection Act (DPA)

The following section provides some general guidance on the data protection implications for equality monitoring. Equality monitoring can involve asking for and recording sensitive personal data about individuals. The data protection legislation exists to protect individuals against the misuse of that data, and all records - whether manual or computerised – will need to meet the requirements of the DPA.

If it is intended to store personal information about an individual with monitoring information, the requirements of the DPA must be met. If an individual can be traced to the monitoring figures care must be taken to anonymise the data, it will be necessary to obtain the individuals' explicit consent to hold and process the data. The DPA will also apply to other personal data collected on the form and all staff should read and consider Northumberland County Council's guidance on the DPA duties and follow Northumberland County Council's DPA Policy. The following information is specifically about equality monitoring and other requirements may apply to other data on the form. It may be possible to combine the DPA requirements and guidance on this should be sought from the DPA officer.

It is a requirement that the data cannot be used for any other purpose than what it was collected for, and for which original consent was granted. The requirements of the DPA should not be a barrier to the collection of equality monitoring data, but will require sensitivity and clarity. Therefore, in order to comply with the DPA, it is advised that monitoring forms contain the following:

- A statement before any monitoring questions that completion of some or all monitoring data is voluntary and is not a condition of receiving the service, benefit, job etc;
- An explanation of why your organisation is carrying out equality monitoring, i.e. what is its purpose, and how the information will be used;

- A statement that the information collected will be treated with the strictest confidence and access/use of it will be restricted to the purposes it was collected for;
- Who the information will be shared with;
- Give an indication of how long you are going to store the information for and how it will be held e.g. electronically.

Where an individual can be identified:

- A statement signed by the service user, customer, employee, etc giving written consent to the collecting, storing, and use of the data collected.

For example statements, see the section 'Step 4' above.

When collecting information relating to equality, this statistical data should be separated from any personal information immediately on receipt. It should be held separately, and in a way that would mean that it could not be attributed to any individuals. This should be clearly explained when the information is being asked for, either in writing or verbally. Where a service is required to keep equality related information with personal details, normal data protection requirements apply. If you have any data protection queries, please contact the Council's Data Protection Officer.

Appendix 1

Information for equality monitoring forms

All our monitoring forms should use the same, standard, monitoring questions then we simply need to use the relevant statement on each of the three forms.

Guidance from the Information Commissioner tells us that the forms need to:

- state the purposes for which the information will be used
- state how the information will be stored and accessed
- make it clear that providing information is voluntary and that it will not affect access to services or employment

Breaches of personal data requirements can have serious consequences, including fines of up to £500,000 per incident, so we do need to ensure that the systems we use are consistent with the statements we make on the monitoring forms.

The following three draft statements are suggested for use on our monitoring forms:

1. Service User

It is important to us to know whether we are supporting or providing services fairly to all groups of people. These questions are intended to help us to find out about that. The information you give us will be kept confidentially and stored securely and will only be used to provide an overall picture of the use and experience of Council's services by different groups. No personal information which can identify you, such as your name or address, will be used in producing equality reports. You do not have to complete this form or some of the questions if you do not want to and it will not affect your access to services or how we treat you. Thank you.

2. Existing Employee

Assignment/employee Number:.....

(found on payslip)

Your Name

It is important to us to know how representative our workforce is of the wider community and to check that our process and practices are accessible and fair to all staff. We also have a legal duty to publish our equality information. So we can do this, we are asking all our staff to help by completing this form. The information you provide will only be seen by a small number of staff; those who enter it on to the secure data base and HR staff who analyse the information all of whom have been briefed about the importance of keeping the information confidential. It will not be available to line managers, and will only be used to provide an overall picture on the Council's employees. It will not influence individual employment decisions and will be kept separate from any job applications. You may chose not to answer any questions you do not want to and choosing to complete or not complete this information will not affect your employment opportunities. Thank you.

3. Recruitment

It is important to us to know if our recruitment and employment practices are open and fair to all groups of people. These questions will help us to find out about that.

The information you give us will be kept confidential and stored securely. It will be kept separate from your application form during the short listing and the recruitment process.

You do not have to complete this form if you do not want to or you may choose not to answer some of the questions this will not affect your access to employment.

Please choose one option for each of the questions listed below and then tick or place an X in the appropriate box. Thank you. Please see below for an example of Customer monitoring form.

Appendix 2 Example of an Adult Equality Monitoring Form for Service users



Northumberland County Council

It is important to us to know whether we are supporting or providing services fairly to all groups of people. These questions are intended to help us to find out about that. The information you give us will be kept confidentially and stored securely and will only be used to provide an overall picture of the use and experience of Council's services by different groups. No personal information which can identify you, such as your name or address, will be used in producing equality reports. You do not have to complete this form or some of the questions if you do not want to and it will not affect your access to services or how we treat you. Thank you.

1. **Gender**
- Female ☐
- Male ☐
- If you prefer to use your own term please provide this here: _____

Prefer not to say ☐

2. **Please indicate your age group:**

18 to 24 ☐ 25 to 44 ☐ 45 to 64 ☐ 65 to 74 ☐ 75 to 84 ☐

85+ ☐

Prefer not to say ☐

3. **Are you married or in a civil partnership?**

Yes ☐

No ☐

Prefer not to say ☐

- 4a. **Do you consider yourself to have a disability?**

(The Equality Act 2010 considers a person to be disabled if they have "a mental or physical impairment that has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities.")

Yes ☐ No ☐ Prefer not to say ☐

- 4b. **If Yes, please indicate the type of disability or illness you have.** Please tick all those that apply. If none apply please mark 'Other' and give details.

Physical impairment such as difficulty using your arms or mobility issues	<input type="checkbox"/>
Sensory impairment such as being blind / having a serious visual impairment or being deaf / having a serious hearing impairment	<input type="checkbox"/>
Mental health condition such as depression or schizophrenia	<input type="checkbox"/>
Long-standing illness or health condition such as cancer, HIV, diabetes, chronic heart disease, or epilepsy	<input type="checkbox"/>
Learning disability/difficulty (such as Down's syndrome or dyslexia) or cognitive impairment (such as autistic spectrum disorder)	<input type="checkbox"/>
Other (please specify):	<input type="checkbox"/>
Prefer not to say	<input type="checkbox"/>

5. **Do you have any caring responsibilities?**

Yes ☐ No ☐ Prefer not to say ☐

If Yes, do you Look after children ☐

Help someone who is ill or disabled ☐

6. **Please indicate which of these groups you consider you belong to:**

A. White	B. Mixed / multiple ethnic groups
English/Welsh/Scottish/Northern Irish/British	<input type="checkbox"/> White and Black Caribbean <input type="checkbox"/>
Irish	<input type="checkbox"/> White and Black African <input type="checkbox"/>
Gypsy / Roma	<input type="checkbox"/> White and Asian <input type="checkbox"/>

Irish Traveller	<input type="checkbox"/> Any other Mixed /	<input type="checkbox"/>
Any other White background	<input type="checkbox"/> multiple ethnic background	

C. Black / African / Caribbean / Black British		D. Asian / Asian British	
African	<input type="checkbox"/>	Indian	<input type="checkbox"/>
Caribbean	<input type="checkbox"/>	Pakistani	<input type="checkbox"/>
Any other Black / African / Caribbean background	<input type="checkbox"/>	Bangladeshi	<input type="checkbox"/>
		Chinese	<input type="checkbox"/>
		Any other Asian background	<input type="checkbox"/>

E. Other ethnic group		
Arab	<input type="checkbox"/>	Any other ethnic group
Prefer not to say	<input type="checkbox"/>	

7. What is your religion or belief?

No religion	<input type="checkbox"/>	Jewish	<input type="checkbox"/>
Buddhist	<input type="checkbox"/>	Muslim	<input type="checkbox"/>
Hindu	<input type="checkbox"/>	Sikh	<input type="checkbox"/>
Christian (including Church of England, Catholic, Protestant and all other Christian denominations)	<input type="checkbox"/>	Any other religion, (please state):	<input type="checkbox"/>
		
		Prefer not to say	<input type="checkbox"/>

8. Which of the following options best describes how you think of yourself?

Heterosexual or Straight	<input type="checkbox"/>	Other	<input type="checkbox"/>
Gay or Lesbian	<input type="checkbox"/>	Prefer not to say	

Thank you for your help the information you give us will be used to ensure we provide services fairly for all groups in Northumberland

Appendix 3 Sources of further information

Delivering Equality and Diversity: How to monitor, Acas, 2009

<http://www.acas.org.uk/index.aspx?articleid=2183>

Monitoring - How to monitor sexual orientation in the workplace, Stonewall, 2006

<http://www.stonewall.org.uk/workplace/1473.asp#monitoring>

Trans Equality Monitoring, Press for Change, BM Network, London WC1N 3XX,

<http://www.pfc.org.uk/node/1408>

“What’s it got to do with you” Stonewall, 2009

http://www.stonewall.org.uk/media/current_releases/3491.asp

Workforce Monitoring: Do I have to monitor equality? Equality and Human Rights Commission, 2010

<http://www.equalityhumanrights.com/advice-and-guidance/guidance-for-employers/equality-policies-equality-training-and-monitoring/workforce-monitoring/>