

Section 71 Race Relations Act 1976 as amended by Section 2 Race Relations (Amendment) Act 2000

Specified authorities: general statutory duty.

71. (1) Every body or other person specified in Schedule 1A or of a description falling within that Schedule shall, in carrying out its functions, have due regard to the need:

- (a) to eliminate unlawful racial discrimination; and
- (b) to promote equality of opportunity and good relations between persons of different racial groups.

(2) The Secretary of State may by order impose, on such persons falling within Schedule 1A as he considers appropriate, such duties as he considers appropriate for the purpose of ensuring the better performance by those persons of their duties under subsection (1).

(3) An order under subsection (2):

- (a) may be made in relation to a particular person falling within Schedule 1A, any description of persons falling within that Schedule or every person falling within that Schedule;
- (b) may make different provision for different purposes.

(4) Before making an order under subsection (2), the Secretary of State shall consult the Commission.

(5) The Secretary of State may by order amend Schedule 1A; but no such order may extend the application of this section unless the Secretary of State considers that the extension relates to a person who exercises functions of a public nature.

(6) An order under subsection (2) or (5) may contain such incidental, supplementary or consequential provision as the Secretary of State considers appropriate (including provision amending or repealing provision made by or under this Act or any other enactment).

(7) This section is subject to section 71A and 71B and is without prejudice to the obligation of any person to comply with any other provision of this Act.

General statutory duty: special cases.

71A (1) In relation to the carrying out of immigration and nationality functions (within the meaning of section 19D(1)), section 71(1)(b) has effect with the omission of the words “equality of opportunity and”.

(2) Where an entry in Schedule 1A is limited to a person in a particular capacity, section 71(1) does not apply to that person in any other capacity

(3) Where an entry in Schedule 1A is limited to particular functions of a person, section 71(1) does not apply to that person in relation to any other functions.

General statutory duty: Scotland and Wales.

71B (1) For the purposes of the Scotland Act 1998, subsections (2) to (4) of section 71 (and sections 71(6) and 74 so far as they apply to the power conferred by subsection (2) of section 71) shall be taken to be pre-commencement enactments within the meaning of that Act.

(2) Before making an order under section 71(2) in relation to functions exercisable in relation to Wales by a person who is not a Welsh public authority, the Secretary of State shall consult the National Assembly for Wales.

(3) The Secretary of State shall not make an order under section 71(2) in relation to functions of a Welsh public authority except with the consent of the National Assembly for Wales.

(4) In this section “Welsh public authority” means any person whose functions are exercisable only in relation to Wales and includes the National Assembly for Wales.

General statutory duty: codes of practice.

71C. (1) The Commission may issue codes of practice containing such practical guidance as the Commission think fit in relation to the performance by persons of duties imposed on them by virtue of subsections (1) and (2) of section 71.

(2) When the Commission propose to issue a code of practice under this section, they:

- (a) shall prepare and publish a draft of the code;
- (b) shall consider any representations made to them about the draft; and
- (c) may modify the draft accordingly.

(3) In the course of preparing any draft code of practice under this section the Commission shall consult such organisations or bodies as appear to the Commission to be appropriate having regard to the content of the draft code.

(4) If the Commission determine to proceed with a draft code of practice, they shall transmit the draft to the Secretary of State who shall consult the Scottish Ministers and the National Assembly for Wales.

(5) After consulting the Scottish Ministers and the National Assembly for Wales, the Secretary of State shall:

- (a) if he approves of the draft code, lay it before both Houses of Parliament; and
- (b) if he does not approve of it, publish details of his reasons for withholding approval.

(6) If, within the period of forty days beginning with the day on which a copy of a draft code of practice is laid before each House of Parliament, or, if such copies are laid on different days, with the later of the two days, either House so resolves, no further proceedings shall be taken on the draft code of practice, but without prejudice to the laying before Parliament of a new draft.

(7) In reckoning the period of forty days referred to in subsection (6), no account shall be taken of any period during which Parliament is dissolved or prorogued or during which both Houses are adjourned for more than four days.

(8) If no such resolution is passed as is referred to in subsection (6), the Commission shall issue the code in the form of the draft and the code shall come into effect on such day as the Secretary of State may, after consulting the Scottish Ministers and the National Assembly for Wales, by order appoint.

(9) Without prejudice to section 74(3), an order under subsection (8) may contain such transitional provisions or savings as appear to the Secretary of State to be necessary or expedient in connection with the code of practice thereby brought into operation.

(10) The Commission may revoke, or from time to time revise, the whole or any part of a code of practice issued under this section; and, where they revise the whole or any part of such a code, they shall issue the revised code, and subsections (2) to (9) shall apply (with appropriate modifications) to such a revised code as they apply to the first issue of a code.

(11) A failure on the part of any person to observe any provision of a code of practice shall not of itself render that person liable to any proceedings; but any code of practice issued under this section shall be admissible in evidence in any legal proceedings, and if any provision of such a code appears to the court or tribunal concerned to be relevant to any question arising in the proceedings it shall be taken into account in determining that question.

(12) Without prejudice to subsection (1), a code of practice issued under this section may include such practical guidance as the Commission think fit as to what steps it is reasonably practicable for persons to take for the purpose of preventing their staff from doing in the course of their duties acts made unlawful by this Act.

General statutory duty: compliance notices.

71D. (1) If the Commission are satisfied that a person has failed to comply with, or is failing to comply with, any duty imposed by an order under section 71(2), the Commission may serve on that person a notice (“a compliance notice”).

- (2) A compliance notice shall require the person concerned:
- (a) to comply with the duty concerned; and
 - (b) to inform the Commission, within 28 days of the date on which the notice is served, of the steps that the person has taken, or is taking, to comply with the duty.
- (3) A compliance notice may also require the person concerned to furnish the Commission with such other written information as may be reasonably required by the notice in order to verify that the duty has been complied with.
- (4) The notice may specify:
- (a) the time (no later than three months from the date on which the notice is served) at which any information is to be furnished to the Commission;
 - (b) the manner and form in which any such information is to be so furnished.
- (5) A compliance notice shall not require a person to furnish information which the person could not be compelled to furnish in evidence in civil proceedings before the High Court or the Court of Session.

Enforcement of compliance notices.

71E. (1) The Commission may apply to a designated county court or, in Scotland, a sheriff court for an order requiring a person falling within Schedule 1A to furnish any information required by a compliance notice if:

- (a) the person fails to furnish the information to the Commission in accordance with the notice; or
- (b) the Commission have reasonable cause to believe that the person does not intend to furnish the information.

(2) If the Commission consider that a person has not, within three months of the date on which a compliance notice was served on that person, complied with any requirement of the notice for that person to comply with a duty imposed by an order under section 71(2), the Commission may apply to a designated county court or, in Scotland, a sheriff court for an order requiring the person to comply with the requirement of the notice.

(3) If the court is satisfied that the application is well-founded, it may grant the order in the terms applied for or in more limited terms.

(4) The sanctions in section 71D and this section shall be the only sanctions for breach of any duty imposed by an order under section 71(2), but without prejudice to the enforcement under section 57 or otherwise of any other provision of this Act (where the breach is also a contravention of that provision).

(2) Schedule 1 (which inserts Schedule 1A into the 1976 Act) is to have effect.

Statutory Instrument 2001 No. 3458

Race Relations

The Race Relations Act 1976 (Statutory Duties) Order 2001

| | |
|------------------------|-------------------|
| Made | 23rd October 2001 |
| Laid before Parliament | 24th October 2001 |
| Coming into force | 3rd December 2001 |

The Secretary of State, in exercise of the powers conferred upon him by section 71(2) and (3) of the Race Relations Act 1976, after consultation with the National Assembly for Wales and with the consent of the Assembly, and after consultation with the Commission for Racial Equality, hereby makes the following Order:

Citation, commencement and interpretation

1. (1) This Order may be cited as the Race Relations Act 1976 (Statutory Duties) Order 2001 and shall come into force on 3rd December 2001.

(2) In this Order:

“the Race Relations Act” means the Race Relations Act 1976;

“staff” includes any person treated as an employee for the purposes of Part II of the Race Relations Act (Discrimination in the Employment Field); and

references to “150 full-time staff” are references to such number of staff as would, if the hours they work were aggregated, amount to 150 staff working on a full-time basis.

Race equality schemes

2. (1) A body or other person specified in Schedule 1 to this Order shall, before 31st May 2002, publish a Race Equality Scheme, that is a scheme showing how it intends to fulfil its duties under section 71(1) of the Race Relations Act and this Order.

(2) A Race Equality Scheme shall state, in particular:

- (a) those of its functions and policies, or proposed policies, which that person has assessed as relevant to its performance of the duty imposed by section 71(1) of the Race Relations Act; and
- (b) that person's arrangements for:
 - (i) assessing and consulting on the likely impact of its proposed policies on the promotion of race equality;
 - (ii) monitoring its policies for any adverse impact on the promotion of race equality;
 - (iii) publishing the results of such assessments and consultation as are mentioned in sub-paragraph (i) and of such monitoring as is mentioned in sub-paragraph (ii);
 - (iv) ensuring public access to information and services which it provides; and
 - (v) training staff in connection with the duties imposed by section 71(1) of the Race Relations Act and this Order.

(3) Such a person shall, within a period of three years from 31st May 2002, and within each further period of three years, review the assessment referred to in paragraph (2)(a).

Monitoring by employers

5. (1) A person to which this article applies shall,
- (a) before 31st May 2002, have in place arrangements for fulfilling, as soon as is reasonably practicable, its duties under paragraph (2); and

(b) fulfil those duties in accordance with such arrangements.

(2) It shall be the duty of such a person to monitor, by reference to the racial groups to which they belong,

(a) the numbers of:

(i) staff in post, and

(ii) applicants for employment, training and promotion, from each such group, and

(b) where that person has 150 or more full-time staff, the numbers of staff from each such group who:

(i) receive training;

(ii) benefit or suffer detriment as a result of its performance assessment procedures;

(iii) are involved in grievance procedures;

(iv) are the subject of disciplinary procedures; or

(v) cease employment with that person.

(3) Such a person shall publish annually the results of its monitoring under paragraph (2).

(4) Subject to paragraph (5), this article applies to a body or other person specified in Schedule 1A to the Race Relations Act.

(5) This article does not apply to:

(a) a body specified in Part I, II or III of Schedule 2;

(b) a person specified in Schedule 3;

- (c) a Scottish public authority with mixed functions or no reserved functions, as referred to in section L.2 of Part II of Schedule 5 to the Scotland Act 1998; or
- (d) a cross-border public authority in relation to the exercise of its Scottish functions within the meaning given by that section.

(6) In paragraph (5) the reference to a “cross-border public authority” is a reference to such an authority within the meaning given by section 88(5) of the Scotland Act 1998.

Angela Eagle

Parliamentary Under Secretary of State

Home Office

23rd October 2001

SCHEDULE 1

Article 2

BODIES AND OTHER PERSONS REQUIRED TO PUBLISH RACE EQUALITY SCHEMES

(INCLUDES)

A Minister of the Crown or government department.

EXPLANATORY NOTE

(This note is not part of the Order)

This Order imposes certain duties on certain bodies and other persons who are subject to the General Duty under section 71(1) of the Race Relations Act 1976 to have due regard, when exercising their functions, to the need to eliminate unlawful racial discrimination and to promote equality of opportunity and good relations between persons of different racial groups. The duties are imposed for the purpose of ensuring the better performance of the General Duty. The Order imposes on a body

or other person specified in Schedule 1 to the Order a duty to publish, by 31st May 2002, a Race Equality Scheme, that is a Scheme showing how it intends to fulfil the General Duty and its duties under this Order. The Order imposes on an educational body referred to in Part I or II of Schedule 2 duties to prepare, by 31st May 2002, a statement of its race equality policy, to have arrangements in place for fulfilling duties to assess and monitor the impact of its policies on different racial groups, and to fulfil those duties in accordance with such arrangements. The Order imposes on a body referred to in Parts III to V of that Schedule a duty to have in place arrangements for fulfilling duties to monitor, by reference to racial groups, various aspects of education and employment at educational establishments, and to fulfil those duties in accordance with such arrangements. The Order also imposes on bodies and other persons specified in Schedule 1A to the 1976 Act, other than those specified in article 5(5) to the Order, to have in place, by 31st May 2002, arrangements for fulfilling duties to monitor, by reference to racial groups, various aspects of employment by those bodies, and to fulfil those duties in accordance with such arrangements.

By virtue of Section 5 of, and Schedule 1 to, the Interpretation Act 1978, references to persons in paragraphs (2) and (3) of article 2, and in paragraphs (1), (2), (3) and (5) of article 5, include references to a body.

Our Goal is to become a flagship organisation, leading by example and demonstrating, in measurable ways, that diversity is an integral part of our working life. This means:

- Our services will be accessible and sensitive to different customer needs;
- Our compliance activities and our work at ports and airports will take account of the needs and expectations of small and large businesses and of the individuals with whom we come into contact; and
- Our workforce will reflect the diversity of the communities we serve.

Our Diversity and Equality Policy is to:

- Recognise that barriers may still exist in society that would hinder the progress of particular groups and to act positively to ensure that these are eliminated from all HMRC policies and processes.
- Use the knowledge and skills of our diverse workforce to increase compliance and customer satisfaction and better understand the customers' needs and viewpoint.
- Employ a diverse workforce that represents the community we serve, helping us to develop our policies and practices in ways that are appropriate to different customer groups.
- Value our people as individuals who have a unique contribution to make to HMRC's success. Use our differences in positive ways to promote an inclusive environment for our employees and customers.

- Be the public sector's employer of choice, attracting and retaining the best from the widest pool of talent and developing our people to the level of their potential and inclination.
- Eliminate any unjustifiable discrimination against anyone for any reason, including race, ethnic origin, religion, nationality, sex, sexual orientation, working pattern, marital status, gender reassignment, disability or age. In Northern Ireland, to eliminate any unfair discrimination because of political opinion.
- Monitor and evaluate our progress to ensure we are meeting our targets and legal responsibilities.

Overview of the Structure of HM Revenue and Customs

Product and process groups

Pay As You Earn, Self Assessment and National Insurance Contributions

Customs and International

Corporation Tax (CT) and Value Added Tax (VAT)

Excise, Stamps and Money Business

Benefits and Credits

Charity Assets and Residence

Customer units

Business customer unit

Individuals customer unit

Corporate functions

Anti-Avoidance Group (AAG)

Strategy Unit

Central Compliance

Central Policy

Commercial Directorate

Knowledge Analysis and Intelligence (KAI)

Communications and Marketing

Information Management Solutions

HR and Learning

Legal and Governance

Finance

Internal Audit

Estates and Support Services

Security and Business Continuity

Operations

Customer Contact

Local Compliance

National Processing

PAYE and SA Processing

National Teams and Special Civil Investigations (SCI)

Risk and Intelligence

Detection

Debt Management and Banking

Large Business Service

Criminal Investigations

Valuation Office Agency

The structure of HMRC is based on four interrelated groups:

Operations: which covers the vast majority of staff and focuses on delivering high quality, cost effective services. Broken down into 11 businesses the core activities are:

- delivering customer contact, processing and operational compliance
- delivering enforcement capabilities, and
- debt management and banking.

Corporate functions: comprising 14 business units to guide and support HMRC. The majority of these units deliver cost effective customer focused services such as HR & Learning, Estates & Support Services, Communications & Marketing and Information Management Solutions.

Product and Process Groups: Products being taxes, duties, credits and benefits and Processes are the schemes by which products are delivered. Staff in six units are responsible for design, specification and providing advice, carrying out technical policy work and liaising with HM Treasury and Ministers.

Customer Units: focus on identifying and understanding the requirements and behaviours of our customers, and the risks associated with them so that we:

- make it easier for customers to comply
- improve the customer experience
- improve compliance, and
- reduce the cost of compliance.

Overall responsibility for the above groups lies with the Executive Committee (ExCom) whose members have portfolios that span the organisational model.

Diversity Screening Template for HMRC

Annex E

In order to meet a range of legal obligations, and to realise the business benefits of being a diverse organisation, we need to consider our major functions and practices (both for customers and employees) to determine their impact on a variety of groups.

This tool is a risk management tool designed to:

- identify functions, actions or policies (current or proposed) which could lead to unlawful discrimination
- identify opportunities to promote equality of opportunity and good relations between different groups
- identify mitigating action which may reduce any adverse impact on diverse groups

This tool will help to determine whether changes need to be made to the current policy/activity or proposals being considered in order to provide the Department with assurances that we are meeting our legal obligations and broader business aims. Before completing this form please read the [guidance on completion](#)

Section 1 – Background to activity/proposal

| | |
|---|--|
| 1. Title of policy/activity etc | |
| 2. Date implemented/changed or planned to come into effect | |
| 3. Who has responsibility for managing the policy/activity? | |

4. Brief description of the aims of the policy/activity ie who benefits? What are you trying to achieve?

5. Who (in the Department) implements this activity/policy? eg managers, HR etc

6. Who are the internal and external stakeholders of this proposed action?

7. How will you work with the stakeholders in implementing this function?

8. Does this proposal interact with any others? If so, list them and explain how.

Section 2 – Impacts identified on diverse groups

9.a. For each of the groups listed consider and comment on potential impacts for staff and customers in terms of :

- **any indications or evidence of different needs, experiences, issues or priorities in relation to the policy/activity**
- **any indications or evidence of direct or indirect discrimination**
- **higher or lower participation or uptake.**

State what evidence you have used to identify these impacts eg via consultations with or consideration of complaints or feedback from relevant groups, organisations or individuals .

9.b. Consider and comment on the actions you will take/have taken to remove or reduce any adverse impact identified on customers and staff

| Diversity Group | External Customers | Staff | Mitigating Action |
|------------------------------------|---------------------------|--------------|--------------------------|
| People: | | | |
| of different Racial Groups | | | |
| With or without Disability | | | |
| of different Gender | | | |
| of different Age | | | |
| of different Marital Status | | | |
| With or without Dependants | | | |

| | | | |
|--|--|------------|--|
| of different Sexual Orientation | | | |
| of different Religious Belief | | | |
| of different Political Opinion (for NI only) | | | |
| who use different Languages | | n/a | |
| <i>10. Give details of any consultation that you have done to validate the information given and conclusions reached in part 9 above.</i> | | | |

Please complete the table below to answer the following questions in relation to each of the diverse groups.

11.a. How will you promote

- equality of opportunity for each of the diverse groups?
- good relations between those of different racial group?
- good relations between those of different political opinion and religious belief ? (NI only)
- positive attitudes towards disabled people?

Eg by working with other government departments or the wider community

11.b. Is there an alternative way of achieving the same outcome that would better promote equality of opportunity?

11.c. If the policy/activity/proposal will affect staff or customers from diverse groups differently, how will you factor this into the communications and management of the policy/activity?

| | |
|---|--|
| <p>Diverse groups i.e. people:</p> | <p>Comment on:</p> <ul style="list-style-type: none"> • action to be taken to promote equality of opportunity, good relations and positive attitudes • alternative actions considered and • communications/management of different impacts (if appropriate) |
| <p>of different racial groups</p> | |
| <p>with or without a disability</p> | |
| <p>of different gender</p> | |
| <p>of different ages</p> | |
| <p>of different marital status</p> | |
| <p>with or without dependants</p> | |
| <p>of different sexual orientation</p> | |
| <p>of different religious beliefs</p> | |
| <p>of different political opinion (NI only)</p> | |
| <p>who use different languages</p> | |

| | |
|---|--|
| <p>12. Explain how you plan to monitor this policy/activity for impact on different groups of people following implementation eg surveys/queries/complaints etc</p> | |
| <p>13. Any other comments on this proposed activity or any key learning for other similar projects/activities?</p> | |
| <p>14. If having considered all relevant factors you concluded that there may be an impact that you are unable to mitigate with policy or procedural changes, please give full details including why mitigating action cannot be provided</p> | |

| | |
|---|--|
| <p>15. Please indicate if a full equality impact assessment is recommended. If no please give justification.</p> | <p>Yes/No</p> |
| <p>16. Consider the priority of the full equality impact assessment in terms of the risk of the plan/proposal to the Department based on our legal obligations and business objectives.</p> | <p>High Medium Low (Delete as appropriate and explain as necessary)</p> |

Completed By:

| | | | |
|-----------|--|------------|--|
| Name: | | Signature: | |
| Position: | | Date: | |
| Office: | | | |

A copy of this document should be forwarded to HR Centre of, Expertise (HR Nottingham)

This document should be retained locally for audit / monitoring purposes and the results and key issues around monitoring, learning and good practice should be reported on your Directorate Diversity Action Plan quarterly return

Diversity Screening Template for HMRC

Guidance on completion

This form is designed to identify any adverse equality impacts that may arise through the implementation of current policy/activity or one that is at the planning stage. Following this process will help to embed diversity throughout the department and provide assurance that we are meeting our legal obligations under a variety of equality legislation affecting all of our activities from employment to service delivery. It is intended to apply to all functions, actions, policies and procedures. Completing the form will help you to consider mitigating actions to lessen any adverse impacts identified. Thorough consideration needs to be given to the potential for adverse impacts or opportunity to further promote equality of opportunity. Where there is no evidence you must judge the risk to the department and decide whether immediate or further EQIA work/research is required before implementing the proposal or continuing with the activity.

The legislation requiring HMRC to undertake this work is the [Race Relations Act 1976 \(as amended\)](#), [Northern Ireland Act 1998](#), the [Disability Discrimination Act 1995 \(as amended\)](#) and the [Welsh Language Act](#). Further information can be obtained within the relevant [HMRC Equality Scheme](#).

Section 1 – Background to activity/proposal

1. Enter the title of the policy/activity which you are considering.

2. Date implemented/changed or planned to come into effect.

Please state if you are screening a current and ongoing policy or activity

3. Who has responsibility for managing the policy/activity?

Give the name and business area of the person with responsibility for managing the activity/policy

4. . Brief description of the aims of the policy/activity ie who benefits? What are you trying to achieve?

Be specific about the purpose of the proposed policy in terms of its affect on staff, customer and the wider community, the context in which it will operate, who it is intended to benefit and the results you hope to achieve.

5. Who (in the Department) implements this activity/policy? eg managers, HR etc

E.g. an employment policy may be implemented by managers or HR whereas service delivery policy may be implemented by front line staff or contact centres.

6. Who are the internal and external stakeholders of this proposed action?

Internal examples could be:

- Staff at a particular location or in a particular area of work
- TUS (DTUS/LTUS)
- Other business areas eg service delivery areas/Estates/workforce change/Information Management Solutions/Communications & Marketing/HR & Learning/Business Partners

External: examples could be:

- Customers
- Service providers or suppliers who rely on the service or activity or are required to implement
- The Treasury, taxpayers, PMG, Local MPs, Local Councils, other Government Departments –

7. How will you work with the stakeholders in implementing this function?

Outline any proposed consultation or pre-consultation conducted and outcomes. This may include consultation with representative groups, TUS or targeted advertising to certain customer groups to ensure full uptake.

8. Does this plan/proposal interact with any others? If so, list them and explain how.

Other activities could be:

- Links with other Business Units who may operate similar or dependent policies or activities
- 5 year plan
- Links to other HR policies (e.g. changing the way you deliver a service may have an impact on flexibility of the staff, training arrangements etc)

Section 2 – Impacts identified

9a. For each of the groups consider and comment on all potential impacts (positive and negative) for staff and customers. Include impacts on external service providers who are carrying out functions or activities on behalf of HMRC. State what evidence you have used to identify these impacts.

Determine what you need to know about the policy or activity to gauge if it has an adverse impact on any of the groups.

Consider national and local data sources and collect additional data or information if necessary. Information on potential impacts could be identified through existing databases, quarterly diversity report from HR&L available research or analysis, (possible sources Office of National Statistics, NI Statistical Research Agency, staff survey) complaints/grievances made; staff network co-ordinators, issues raised through consultation with staff/TUS/customers; feedback from consultations on other similar policies or activities operated by HMRC or other government departments etc.

Ensure all data and research used is reliable and valid.

Please refer to [examples of groups covered](#) and consider if eg some racial groups may be affected differently to others.

It is not acceptable to say that there is no or information data available and therefore there is no equality impact or no adverse impact. You must be able to show, through evidence that the policy/activity does or will operate in a fair way for different groups of people and that there is no action you can take to improve the equality outcomes for any of the groups.

If you do not have any or limited information for any of the groups, then you must seek qualitative or quantitative data (see suggested sources above) in order to complete the screening. If there is likely to be significant impact or potential for adverse impact, then you must carry out a full equality impact assessment. This part of the process helps you to identify the potential impacts and the risks to the department or groups affected to help you to decide if a full impact assessment is needed.

In all cases you need to continue to complete all parts of the screening form.

9b. Consider and comment on the actions to be taken to reduce/mitigate any adverse impact identified on staff and customers.

If you have changed any part of the current policy/activity or proposals to address equality issues, then please give details.

If you can justify for other reasons that the policy/activity/proposal cannot be changed give details of actions that you will take or have taken to reduce any negative impact.

10. Give details of any consultation that you have done to validate the information given and conclusions reached in part 9 above.

If the policy/activity/proposal is likely to have a significant impact on one or more of the groups listed you may need to consider informal consultation (e.g. TUS, staff/customer networks) in order to fully evaluate the risks involved and ensure that you have taken appropriate and relevant mitigating action.

11a. How will you promote

- **equality of opportunity for each of the diverse groups?**
- **good relations between those of different racial group?**
- **good relations between those of different political opinion and religious belief in NI only?**
- **positive attitudes towards disabled people?**

Eg by working with other government departments or the wider community

In addition to the mitigating action detailed at no. 9, please consider if any further action is required to promote equality of opportunity or good relations for and between groups of people and what will be done. Consider actions you could take that will not alter the business outcome but may provide further benefits in equality terms eg could you run training sessions at different times/days to assist staff with alternative working patterns or caring responsibilities?

The Disability Equality Duty requires consideration of how we can promote positive attitudes towards disabled people through for example advertising and marketing or promoting positive participation of disabled people in the activity/policy.

For further information on “good relations”, please click [here](#).

11b. Is there an alternative way of achieving the same outcome that would better promote equality of opportunity? (e.g. by providing translations of guidance/leaflets)?
Why isn't that alternative action being taken?

Give details of consideration of alternative ways of delivering the objectives to better promote equality of opportunity. Explain why it has not been possible to adopt these alternatives.

11c. If the policy/activity/proposal will affect staff or customers from diverse groups differently, how will you factor this into the communications/management of the policy/activity?

Consider if the communication needs to be tailored for the different groups. Is there work you can do with representative groups/focus groups to manage the change/proposed activity more effectively?

12. Explain how you plan to monitor this policy/activity for impact on different groups of people following implementation eg surveys/queries/complaints etc

- All policy needs to be monitored for its effect on different groups of people. Having suitable information on the implementation of the policy will enable you to pick up of trends and adjust the policy to maintain the equality balance. Consider the extent of the monitoring that is needed based on the effect that the policy is likely to have.
- Monitoring activity needs to be able to identify the impact on the different groups of people listed at question 9. Consider sources of information that are already in existence and any additional mechanisms that you can put in place. If carrying out surveys or focus groups you need to ensure that the analysis will give an appropriate breakdown
- Who will monitor the impact and consider further action to be taken if adverse impacts identified?
- How will you factor equality assessments into future review processes?

All monitoring data and information needs to be reviewed regularly and published to ensure that we continue to comply with our legal obligations

13. Any other comments on this proposed activity or any key learning for other similar projects/activities?

Consider and comment on:

- other similar business activities that may need to be assessed as a result of this screening

- lessons learnt and good practice
- key risks in implementing your policy/activity/proposal

14. If having considered all relevant factors you have concluded that there may be an impact that you are unable to mitigate with policy or procedural changes, please give full details including justification as to why mitigating action cannot be provided.

Consider and comment. In establishing potential mitigating action please ensure all support routes have been exhausted, including:

HR & Learning Business Partners

HR Service Centre & mobile adviser network

Diversity network co-ordinators

Business People and Support Services

Capita Occupational Health Services

15. Please indicate if a full equality impact assessment is recommended

For some policies/activities or proposals you may be able to justify finishing the assessment at this stage, provided appropriate consideration of evidence, consultation and robust monitoring systems are in place. If this is the case you must give an outline of your justification to support this.

Other, more significant policy from an equalities perspective eg Employment/HR, enforcement, compliance and service delivery policy and activity will warrant a more detailed equality impact assessment. You will need to consider the significance of the policy/activity in terms of:

- strategic importance
- political sensitivity
- social needs agenda
- potential for complaint
- effect on compliance
- effect on people's daily lives

- effect on economic, social and human rights
- departmental expenditure

15.b. Consider the priority of the full impact assessment in terms of the risk of the policy/activity/proposal to the Department based on our legal obligations and business objectives.

Activities or policies that have a higher significance across a number of the factors listed above will warrant an earlier assessment, all impact assessment work needs to be factored into business planning processes.

HMRC Departmental Action Plan for Equality Screening and Impact Assessment 2005-2008

| Function / policy / activity | Description of policy or activity | Initial Impact Assessment Screening status (Date Completed or Planned) | Diversity Impact (EQIA priority - High, Medium, Low or Not Relevant) | Target date for Full EQIA (For High or Medium priorities) |
|--|---|--|--|---|
| HMRC - WIDE ACTIVITES | | | | |
| Regional office moves related to Department re-structuring | Significant office moves, staff relocation and role changes resulting from activities including Gershen, Lean, Lyons and Estates rationalisation | On-going | Various | |
| EMPLOYMENT RELATED ACTIVITIES | | | | |
| Corporate Functions - Human Resources and Learning | | | | |
| Getting People Started | | | | |
| Resource Planning | | | | |
| Pre-surplus arrangements | Policies including Pre-surplus/surplus and home move assistance, Payments for equalising salary discrepancies when Surplus staff transfer to other Department | 2007/8 | | |

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|---|---|-------------------|------|---|
| Relocation and Restructuring | Comprising Government Relocation, (Lyons) Programme, Staff Efficiencies, Estates Consolidation Programme and Strategic Zones | Feb 2006 Complete | High | EQIA Work ongoing, initial consultation document published Dec 06 |
| On line HR | On line HR System project | 2007/8 | | |
| Succession Planning | Succession Planning | 2007/8 | | |
| HR & L Transformation | including reorganisation of the delivery of HR and learning Services | 2007/8 | | |
| Communications | Accessibility, targeting and format of HR communications | 2007/8 | | |
| Competency Framework | | | | |
| Job Evaluation and Design | Supporting the design of organisational structures and delivering job evaluation and pay banding services to Cabinet Office standards | 2007/8 | | |
| Candidate Sourcing & Selection | | | | |
| Work Experience | Work Experience Policy | Aug 2006 Complete | Low | |
| Ancillary recruitment & induction processes | Policies and processes including: Probation, Nationality, Induction, Contracts / Appointment | 2007/8 | | |

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|--|--|----------------|------|--------|
| Filling Vacancies | Policies including: Trial Periods, Placements, Re- Appointment, fixed term appointments, mobility) | 2007/8* | | |
| External Recruitment | Grade AA-SO external recruitment, specialist recruitment, Inspector training Schemes | 2007/8* | | |
| HMRC Talent Programmes | External and internal Recruitment for higher grades | 2007/8* | | |
| At Work | | | | |
| Attendance Management | | | | |
| Managing Poor Performance & Attendance | Policies including: Sickness Absence | 2007/8 | | |
| Leave | Policies including: Annual leave, Family friendly (maternity, family friendly- paternity adoptions, parental, Public and Privilege, Special Leave (sports, volunteering, other) | 2007/8 | | |
| Employee Relations | | | | |
| Conduct & Discipline | Policies including: HMRC Conduct Policy, Computer Misuse, Disciplinary, Alcohol, Anti-Internal Fraud Statement, Drug Misuse, Manager's Guidance, Whistle blowing, Selective Screening | completed 4/07 | high | 2007/8 |

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|-----------------------------------|---|----------------|------|--------|
| Grievance | Grievance Policy | completed 4/07 | high | 2007/8 |
| Working Patterns | Policies including: Alternative Working Patterns, Working Time Regulations, Flexible Working Hours, Work Flexibility for Band T/Grades 6&7, Hours of Attendance | 2007/8 | | |
| Health & Safety | Policies including: Stress, Risk Assessment, Accident Reporting, Smoking | 2007/8 | | |
| Diversity and Equality | Policies including: Age, Language, Disability, Diversity Training, Data Protection/Freedom of Information, Human Rights Act, Sexuality, Childcare including holiday playschemes and workplace nurseries, Anti-bullying and harassment | 2007/8 | | |
| TUS Related | Consultation arrangements & Facilities agreements | 2007/8 | | |
| Training Needs Analysis | | | | |
| Planning of learning | Planning of the Department's learning and training needs | 2007/8 | | |
| Individual Career Planning | | | | |
| Development Opportunities | Coaching and Mentoring, Further Education and Vocational Qualifications | 2007/8 | | |

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|--|---|---------------------|-----|--|
| Career Transition Support | CV writing, interview skills access | 01/11/2006 Complete | Low | |
| Leadership, management capability & behaviours | Improving management capability | 2007/8 | | |
| Learning & Development | | | | |
| Planning of Learning | Identifying and addressing business learning needs | 2007/8 | | |
| Accessibility of learning | Format and delivery accessibility of training and pre-course learning, especially for those with particular needs | 2007/8 | | |
| Administration of training | The administration of learning events and learning premises | 2007/8 | | |
| Trainer development | Development of learning facilitators to enable them to develop, prepare and deliver training. | 2007/8 | | |
| Development of training | Design and development of training including trainer prep time | 2007/8 | | |
| Learning out of hours | Policy for learning done outside traditional office hours | 2007/8 | | |
| Mentoring | Mentoring arrangements | 2007/8 | | |
| Learning quality assurance / control | Quality assurance, quality control and evaluation of all stages of learning | 2007/8 | | |
| Account management | Learning account management | 2007/8 | | |

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|---|---|--------------------|------|--------|
| Manage Qualifications | | | | |
| Further Education | Policy on further education for staff | 2007/8 | | |
| Management Organisational Development | | | | |
| Promotions | Promotion (including temporary) policy for all grades up to Grade 7 | 2007/8* | | |
| Development Opportunities | Interchange programme | 2007/8 | | |
| Internal Nomination for Fast stream* | Accelerated development programme to reach senior grades | 2007/8* | | |
| Performance Management | | | | |
| Appraisal | Performance appraisal. For all staff up to and including grade 6 | completed 4/07 | high | 2007/8 |
| Talent Management | | | | |
| Senior Leadership and Development | Senior Civil Service gateway, Grade 7 Gateway and Senior Civil Service permanent appointments | 2007/8* | | |
| Reward | | | | |
| Payroll | | | | |
| Review of Travel and Subsistence & relocations policy | T&S including: Travel, petty cash, cars, subsistence rates and relocations policy | July 2006 Complete | Low | |
| Equal Pay Review | Review of basic pay, attendance related allowances, pay related allowances | N/A | High | 2007/8 |

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|--|---|--------------------|-----|--|
| Leaving Work | | | | |
| Exit Management | | | | |
| Early Leavers | Approved early retirement & redundancy arrangements, Public Sector release scheme | 2007/8 | | |
| *preliminary EQIA scoping work has been carried out on several recruitment processes, consultation document to be published April 07 | | | | |
| POLICY AND SERVICE DELIVERY | | | | |
| Corporate Functions - Anti-Avoidance Group | | | | |
| Anti-Avoidance Strategy | Tax Anti-Avoidance Strategy | March '07 Complete | Low | |
| Definition of avoidance | Definition of avoidance | Completed Aug '06 | Low | |
| Periodic report on avoidance | Periodic report on avoidance | Completed Aug '06 | Low | |
| Communication Strategy (External) | Communication Strategy activities outside HMRC | 31/3/07 Planned | Low | |
| Toolkit for reducing avoidance opportunities | Toolkit for reducing avoidance opportunities | Completed Aug '06 | Low | |
| Avoidance Proofing & Testing | Avoidance Proofing & Testing procedures | Completed Aug '06 | Low | |
| Scheme resolution policy | Scheme resolution policy including Litigation policy related to avoidance | Completed Aug '06 | Low | |
| Diclosures Policy | Diclosures Policy | Completed Sept 06 | Low | |
| PE Policy Operation | PE Policy Operation | Completed Aug '06 | Low | |
| Statutory Clearances S703 | Statutory Clearances S703 | Completed Sept 06 | Low | |

| Corporate Functions - Communications & Marketing | | | | |
|---|--|--------------------|--------------|--|
| Communication Strategy | Developing and maintaining HMRC's approach to providing responsive and effective communication | 2007/8 | | |
| Communication Strategy | Providing advice and support to Business Units and Projects in internal and change communications | 2007/8 | | |
| Communication Strategy | Ensuring that HMRC's strategic communication activities are properly integrated with HMRC strategies and plans. | 2007/8 | | |
| Communication Strategy | Customer Insight: Ensuring that the needs, attitudes and behaviours of our customers are fully understood and reflected throughout HMRC's business and communications activities | Completed 19/03/07 | Not Relevant | |
| Brand strategy | Developing, managing and evaluating HMRC's marketing campaigns | Completed 12/02/07 | Not Relevant | |
| Brand strategy | Developing and implementing a consistent brand image across HMRC | Completed 05/03/07 | Not Relevant | |

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|-----------------------------------|--|--------------------|--------------|--|
| External communications | Media relations: Managing contact with national and regional press, radio and television, consumer, trade and online media. | Completed 06/03/07 | Not Relevant | |
| External communications | Conducting stakeholder engagement and high level reputational risk management | Completed 20/03/07 | Not Relevant | |
| Internal and change communication | Providing communication and change management support in delivering HMRC's ambition and transformation programme and supporting business units in delivery of their communication activities | 2007/8 | | |
| Internal Media | Providing internal communications products for HMRC (One HMRC, Intranet newsroom, hotseat, leadership magazine) | Completed 26/03/07 | low | |

| Corporate Functions - Central Compliance | | | | |
|---|--|----------------------|--------|--------|
| HMRC's powers, deterrents and safeguards | Review of HMRC's powers, deterrents and safeguards | 13/12/06 Complete | Low | |
| Compliance sub-strategies for Customer Groups | End-to-end strategies to reduce tax losses attributable to non-compliance in the Individuals, SME, Large Business and Informal Economy Customer Groups | 06/12/2006 Complete | Low | |
| Tax gap analysis | Ensuring that the department has the analysis required in order to understand the nature and extent of the tax gap. | 06/12/2006 Complete | Low | |
| Corporate Functions - Central Policy | | | | |
| Compliance withFOI, DPA & HRA for all new budget measures | The process for assuring all new policies are/ have been fireproofed | 04/07/2006 Completed | Low | |
| Tax credit criminal investigation work | Tax credit criminal investigation work | 04/07/2006 Completed | medium | 2007/8 |
| Cash controls, policies and procedures | Cash controls, policies and procedures | 04/07/2006 Completed | medium | 2007/8 |
| Family Friendly Training Opportunities | Delivery of training via DVDS | 04/07/2006 Completed | Low | |
| New Management Act | Re write of Taxes Management Act | 2007/8 | | |
| Corporate Functions - Commercial | | | | |
| Procurement of goods and services | HMRC Procurement Policy | 7/5/07 Planned | high | 2007/8 |
| Management of procurement contracts | Management of HMRC procurement contracts | 7/5/07 Planned | high | 2007/8 |

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|--|--|--------------------|--------------|--------|
| Designation of Commercial Posts | Review of policy to determine the specialist commercial posts within HMRC. | 31/03/07 Completed | Low | |
| Corporate Functions - Information Management Services | | | | |
| IMS Strategy | IMS Strategic Framework | 31/3/07 Completed | Not Relevant | |
| IMS Communications Strategy | The Strategy provides a framework for delivering effective communications | 2007/8 | | |
| Transformational Blueprint | Set of activities required to transform the performance of IMS (at individual, team and enterprise level) into a High Performing Team. | 31/3/07 Completed | Not Relevant | |
| HMRC Programme Governance Framework | The Framework is a series of controls that define how HMRC programmes are set up, managed and controlled. | 31/3/07 Completed | Not Relevant | |
| IT Accessibility | IT system accessibility including Helpdesk Support | 31/3/07 Completed | High | 2007/8 |
| Financial Strategy to 2007/8 | IMS strategy and new IT system commissioning | 2007/8 | | |
| Corporate Functions - Estates & Support Services | | | | |
| Assurance for access under the Disability Discrimination Act | Supporting HR&L and customer contact in delivering DDA compliance for staff and customers by arranging reasonable adjustments to address physical barriers | 2007/8 | | |

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|--|---|---------------------|--------------|--------|
| Car parking | Development & Implementation of car parking policy that allocates bays on a prioritised basis | completed 4/07 | medium | 2007/8 |
| Faith rooms | Development & implementation of policy to provide facilities for prayer and quiet contemplation whilst maintaining flexibility in the use of the estate | Apr-07 | high | 2007/8 |
| Corporate Functions - Finance & Internal Audit | | | | |
| KPI 1: Target to improve customer take up of Tax credit payments by BACS | Supporting customer inclusion, at strategic & financial level, in electronic transfer and access to bank accounts | Complete 12/10/2006 | Low | |
| KPI 2: Management Information and advice | Development and roll out of quality MIS for HMRC | Complete 12/10/2006 | Low | |
| KPI 4: Financial skills capability | Development of Financial Skills and training for staff & management across HMRC | Complete 11/10/2006 | Low | |
| Corporate Functions - Security & Business Continuity | | | | |
| Internal Guidance and Training | Security and business continuity management and operation guidance | Completed 31/03/07 | Not relevant | |
| Security Management System Production and audits | Directorates SMSSs demonstrating how security is managed | Completed 31/03/07 | Not relevant | |
| Re- skilling/reorgansiation of roles | Re- skilling/reorgansiation of roles | Completed 31/03/07 | Not Relevant | |

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|---|--|--------------------|--------------|--|
| Business Continuity Planning | Assist the business in getting business continuity plans in place, testing them and undertaking BCP audits | Completed 31/03/07 | Not Relevant | |
| Communications Strategy | Communications strategy | 2007/8 | | |
| Corporate Functions - Strategy Unit | | | | |
| HMRC Strategy | HMRC Departmental strategy and priorities | Completed | Low | |
| Change Drivers | Drivers and trends that could shape the future environment in which HMRC will operate | Completed | Low | |
| Scenarios and DVD | Future-world' scenarios developed to help HMRC think about the ways in which the world might change. | Completed | Low | |
| Corporate Functions - Knowledge, Analysis & Intelligence | | | | |
| Analysis Policy | Analytical and research support service to the tax policy functions in HMRC and HM Treasury | 2007/8 | | |
| Analysis Operations | Provides analytical and research support service to all parts of HMRC (Forecasting and Monitoring, Compliance and, Performance and Customer Experience). | 2007/8 | | |

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|---|--|--------|--|--|
| Information Centre, Cross Cutting and Knowledge Resources | Establishing a single data source for individuals and businesses, compilation of UK trade statistics, knowledge and analysis integration and optimisation, information law and records management. | 2007/8 | | |
| Corporate Functions - Legal & Governance | | | | |
| No relevant HMRC owned activity for screening | | | | |
| Customer Units | | | | |
| Customer Units - Business Customer Unit | | | | |
| Carter Programme | Delivers the expansion to/ improvement in the Department's IT services to ensure, from April 2008, successful handling of on-line returns and other documents from SA, VAT, CT and PAYE customers. | 2007/8 | | |

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|--|--|--------|--|--|
| Customer Experience / Service Improvement | Policies including: Agent Customer Experience-direct taxes, Co-ordinator for NAO vfm review of support for new business, Joint Education Trial (JET) initiative, PSA2 K14 Delivery and Small Medium Enterprises Compliance Strategy | 2007/8 | | |
| Employer Team | Employer facing guidance and information | 2007/8 | | |
| Integrated Customer Management (ICM) Programme | Policies providing taxpayers with a single, unified, approach to customer contact, financial management and changes of circumstances. | 2007/8 | | |
| OECD Agents Project | A study of the role played by agents in tax evasion and avoidance to provide the basis for a positive approach and establish a platform from which we can move towards more constructive relationships. | 2007/8 | | |

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|---|--|--------|--|--|
| Public Services Agreement accountabilities: Compliance Customer Experience | Policies including: Administrative Burden Exercise, Better Regulation Engagement and Transformation, Large Business and Employers | 2007/8 | | |
| Tax and Operational Support | Tax and Operational support | 2007/8 | | |
| Customer Units - Individuals Customer Unit | | | | |
| Customer Foundations Programme | Key transformational changes for the customer as part of the 5 yr plan programme | 2007/8 | | |
| Products & Process Groups | | | | |
| Product & Process Groups - Charities, Assets & Residence | | | | |
| Risk selection | Risk selection for charities, assets and residence compliance cases | 2007/8 | | |
| Litigation Strategy | Selection of cases to litigate compliance failures | 2007/8 | | |
| Planning Gains Supplement | Planning Gains Supplement | 2007/8 | | |
| Residence Modernisation Programme | The Residence Modernisation Programme | 2007/8 | | |
| Child Trust Fund | The Child Trust Fund | 2007/8 | | |
| Product & Process Groups - Benefits & Credits | | | | |
| Tax Credits Architecture & Design Team | Operational model | 2007/8 | | |
| Tax Credit and Child Benefit Process | Tax Credits and Child Benefit processes | 2007/8 | | |

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|---|--|----------------------|--------------|--|
| Policy, Technical, Communications and Compliance | Tax Credits and Child Benefit maintenance | 2007/8 | | |
| Tax Credit Operational Delivery team | Policies for supporting planning and decision making in tax credits | 2007/8 | | |
| Tax Credit Transformation Programme (TCTP) | Long term view of a sustainable and successful delivery model for tax credits and child benefit | 2007/8 | | |
| Product & Process Groups - Excise & Stamp Taxes | | | | |
| Stamp Duty Land Tax | Carry out risk based compliance activity on Stamp Duty Land Tax. | Completed 30/11/06 | Not relevant | |
| Remote Gaming | New policy around online gambling | Completed 29/01/07 | Not relevant | |
| Money Laundering | New policy on money laundering | 2007/8 | | |
| Product & Process Groups - Frontiers & International | | | | |
| Customs Procedures & Services | Operational and Policy responsibility for specific Custom's regimes relating to the movement of goods. | completed March 2007 | Not relevant | |

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|-------------------------------------|--|-----------------------------|---------------------|--|
| <p>Programme & Unit Support</p> | <p>Provides the Programme Director with evidence and confidence that the Frontiers Change Programme is on track to deliver agreed outcomes and benefits; and that individual projects are within approved scope, costs and timeframes. Also, responsible for some cross cutting unit support ie performance pack contributions</p> | <p>completed March 2007</p> | <p>Not relevant</p> | |
| <p>EU & Ministerial</p> | <p>Parliamentary scrutiny, provision of general EU advice, together with: co-ordination and handling of ministerial submissions; Management of Parliamentary scrutiny process in respect of EU Customs propositions; Provision of guidance and advice on EU institutions, processes and negotiations.</p> | <p>completed March 2007</p> | <p>Not relevant</p> | |

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|----------------------------------|---|-------------------------|--------------|--|
| Customer Relationship Management | Work with key stakeholders such as the Customer Units, CaM, Customer Contact and Detection to develop a shared understanding of customer focus and are responsible for embedding this throughout our business. Contribute to PSAs 1 and 2 and responsible for PSA3. | completed November 2006 | Not relevant | |
|----------------------------------|---|-------------------------|--------------|--|

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|---|---|-------------------------|--------------|--|
| Review & Appeals | To fulfil EC and UK legislation, HMRC operates a 2 tier, established, independent appeals procedure, governed by strict statutory timescales. Stage 1: Formal Departmental Review:- Review undertaken by a Departmental officer unconnected, and wholly independent of the original decision. Stage 2:- If not satisfied with the outcome of the Review, the company or individual can exercise their right of Appeal to the VAT & Duties Tribunal, administered by the Court Service - completely independent of HMRC. | completed February 2007 | Low | |
| Prohibitions & Restrictions - Biosecurity Regimes | Responsible for regimes relating to UK trade to protect society including CITES (Convention on International Trade in Engaged Species of Flora or Fauna); POAO (Products of Animal Origin) and; PBG (Plant Based Goods). also includes Avian Influenza controls. | completed March 2007 | Not relevant | |

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|---|---|----------------------------|--------------|--|
| Drugs Strategy | Developing and managing strategies to drive HMRCs drugs enforcement policies. Contributing to the wider UK drugs strategies and ensuring the department's strategies are consistent with the bigger picture. Co-ordinate other key department delivery agents, Detection, Investigation and Intelligence, to ensure the department builds a consistent and joined up approach in relation to drugs enforcement. | completed February 2007 | Low | |
| Security | Responsible for developing and managing policy in relation to supply chain security. Managing relationships both within HMRC and across Govt and Internationally. | completed February 2007 | Not relevant | |
| Prohibitions and Restrictions - Other Regimes | Responsible for regimes relating to UK trade in order to protect society with regard to the Environment, Economy, Industry, Counter Proliferation, Terrorism and Crime | completed March/April 2007 | Not relevant | |

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|---|---|------------------------|--------------|--|
| Olympics | Operational and Policy responsibility for specific Custom's regimes relating to the movement of goods. | completed March 2007 | Not relevant | |
| International Relations & Capacity Building | Provide expertise to OGDs and other administrations to support development of Customs & Revenue services. Departmental responsibility for arranging and ensuring delivery of all non-operational overseas and UK based assistance to help build capacity in developing countries. | completed January 2007 | Not relevant | |
| Directorate Central Unit | Provide guidance and consultancy in relation to HR & Learning to Frontiers and International and the Customer Units. Commission input and produce Directorate Performance pack, Business Continuity and Risk register. Responsible for Governance of Directorate Finance. Development of Frontiers & International Strategy. Contact point for all IT related matters - liaising with E&SS and IMS. | completed October 2006 | Not relevant | |

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|--|--|------------------------|--------------|--|
| Tax Treaties | HMRC responsibility to negotiate and maintain the UK's international taxation agreements and responsibility for policy and practice of sovereign immunity from direct tax. | completed January 2007 | Not relevant | |
| Product & Process Groups - PAYE, Self assessment & National Insurance Contributions | | | | |
| Pay As You Earn | Pay As You Earn policy to include: online engagement, pensioners, multiple jobs, frequent job changes, temp. refs and benefits in kind | 2007/8 | | |
| National Insurance contributions | National Insurance contributions to include: Deficiency Notices, Married women's reduced rate, Multiple jobs, HRP and Short periods in UK | 2007/8 | | |
| Self Assessment | Self Assessment to include: employed people in higher income bracket, self-employed, NIC Class 2 & 4 | 2007/8 | | |
| National Insurance Class 3 | National Insurance Class 3 | 2007/8 | | |
| Collection of Student Loans | Collection of Student Loans Age consideration to include relative levels of earnings on behalf of DfES | 2007/8 | | |

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|---|---|--------------------|-----|--|
| Construction Industry Scheme | Construction Industry Scheme to include Nationality issues and Educational attainment issues | 2007/8 | | |
| National Minimum Wage | National Minimum Wage to include gender and nationality issues on behalf of DTI | 2007/8 | | |
| Statutory Payments | Statutory Payments operated by employers | 2007/8 | | |
| Change - PAYE programme | Change - PAYE programme | 2007/8 | | |
| Allowances | Allowances | 2007/8 | | |
| Litigation | Litigation strategy | 2007/8 | | |
| Product & Process Groups - Corporation Tax & VAT | | | | |
| Corporation Tax and VAT tax | Business related Corporation Tax and VAT | 30/9/06 Complete | Low | |
| Operations | | | | |
| Operations - Customer Contact | | | | |
| Enquiry Centre Redesign | Redesign of Enquiry Centres | 14/9/2006 Complete | low | |
| Contact Centre Rationalisation | Establishment of fully integrated single network of Contact Centres | 22/6/2006 Complete | low | |
| Carter Review | Review of HMRC online services to achieve universal electronic delivery of tax returns from businesses and IT capable individuals | 22/6/2006 Complete | low | |

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|---|---|---------------------|--------------|---|
| Customer Adviser Guide | Introduction of intranet based resource as key source of online guidance for staff handling customer contacts across all channels | 20/10/2006 Complete | low | |
| Printed Guidance | Provision and review of printed guidance in the form of leaflets and factsheets for use of the unrepresented customer | 27/7/2006 Complete | low | |
| Review of CCD intranet site | Redevelopment and relaunch of the Customer Contact intranet site to introduce a single, streamlined resource for use of all staff in that Directorate | Complete | low | |
| Complaints Management System | Review and implementation of a standard complaints handling procedure across HMRC that is effective, efficient and meets customer needs) | Complete | Yes - High | 01/10/07 - after 6 months data has been collected |
| Operations - Debt Management & Banking | | | | |
| Field Force | Review of project to assess changes in base locations of staff | Completed 08/03/07 | Not relevant | |
| Centralisation of Deceased Debtor Cases | Centralisation of Deceased Debtor Cases | Completed 12/03/07 | Not relevant | |

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|--|---|---------------------|--------------|--|
| Time to Pay (TTP) | Policy describing process and rules regarding payment | Completed 09/02/07 | Not relevant | |
| County Court Proceedings (CCP) | Proceedings taken in the County Courts in England and Wales | Completed 12/03/07 | Not relevant | |
| Bailiff (in house TUPE) | Bailiff processes and procedure | 26/10/2006 Complete | Not relevant | |
| Summary Proceedings (SP) | Summary Proceedings taken in the Magistrates Courts in England and Wales | Completed 12/03/07 | Not relevant | |
| Pre Enforcement | Various processes prior to taking of formal enforcement action | Completed 09/03/07 | Not relevant | |
| Inward cheques and form review | Management of incoming payments | Completed 20/03/07 | Not relevant | |
| Strategic Accounting Framework Environment. | Debt management computer system introduction- i.e computerising the hitherto manual processes of the Network Unit | Completed 17/01/07 | Not relevant | |
| Added Value | LEAN | Completed 19/03/07 | Not relevant | |
| Summary Warrant for indirect tax in Scotland | Summary Warrant for indirect tax in Scotland | Completed 11/01/07 | Not relevant | |
| Distrain in house | Distrain in house | Completed 26/10/06 | Not relevant | |
| Communications strategy | Debt management communication processes | 2007/8 | | |

| Operations - Enforcement & Compliance | | | | |
|---|---|----------------------|--------|--------------------------------|
| Comprising: Criminal Investigation, Risk & Intelligence, Local Compliance, National Teams & Special | | | | |
| Investigations | | | | |
| Cash seizures activities | Cash seizures activities include monitoring risk areas and undertaking operations to seize cash | 01/03/2006 Completed | High | 2007/8 |
| Tax credits prosecutions | Tax credits fraud prosecutions | 01/03/2006 Completed | Medium | |
| Search of persons/profiling /freight and custody | Customs examinations at the frontier | Not screened | High | Assessment completed June 2005 |
| National picture of risk-case selection | National picture of risk-case selection (trader selection) | 01/02/2006 Completed | High | EQIA completed June 06 |
| National Minimum Wage | National Minimum Wage case selection activity | 01/03/2006 Completed | Medium | 2007/8 |
| Labour providers | Labour providers case selection | 01/03/2006 Completed | Medium | 2007/8 |
| Insolvency Compliance and Securities | Insolvency and Securities risk assessment | 2007/8 | | |
| Missing Trader Intra Community Fraud (MTIC) | Missing Trader Intra Community Fraud case selection | 01/03/2006 Completed | Medium | 2007/8 |
| Adult women accused of a crime | Procedures for dealing with adult women accused of a crime | 01/05/07 Planned | Medium | 2007/8 |
| Passenger communications at the frontier | Passenger communications at the frontier | 01/05/07 Planned | Medium | 2007/8 |
| Suspicious activity reports | Intelligence supplied by third party | 01.075.07 Planned | Medium | 2007/8 |
| Inland tobacco teams including strike forces | Inland tobacco teams business monitoring | 01/05/2006 Completed | Medium | 2007/8 |

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|--|--|----------------------|--------|------------------------|
| Prosecutions policy | Prosecutions policy | 01/06/07 Planned | Medium | 2007/8 |
| Restructuring of Local Compliance | Restructuring of Local Compliance | 01/08/2006 Completed | Low | |
| Deployment of staff in new Local Compliance | Deployment of staff in new Local Compliance | 01/09/2006 Completed | Low | |
| Oils work in Northern Ireland | Oils work in Northern Ireland | 01/04/2006 Completed | Med | EQIA completed June 06 |
| Road Fuel Testing Units RFTU | Road Fuel Testing Units RFTU | 01/12/2006 Completed | Med | 2007/8 |
| Operational Risk. Re-structuring of function | Operational Risk. Re-structuring of function | 2007/8 | | |
| Employer Compliance interventions | Case selection | 01/03/07 Completed | Low | |
| Personal returns interventions | Case selection | 01/03/07 Completed | Low | |
| Targeted education, enabling and leverage | Enabling new and existing businesses to be compliant | 23.03.07 Completed | Low | |
| VAT interventions | assurance that VAT registered traders are compliant | 12/03/07 Completed | Low | |
| Excise selections, holding and movements | Operational activity to support the Excise Strategies | 23.03.07 Completed | Low | |
| International Trade | Assurance that non EU importers are compliant | 23/03/07 Completed | Low | |
| Personal Returns Compliance Interventions | Assurance that individuals are submitting accurate returns | 09/03/07 Completed | Low | |
| Corporation Tax interventions | Assurance that companies are submitting accurate returns | completed 28/03/2007 | Low | |

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|---|--|--|--------|--------|
| Employer Compliance Interventions | Assurance that employers are submitting accurate returns | 06/03/07 Completed | Low | |
| Income Tax interventions | Assurance that traders are submitting accurate returns | 2007/8 | | |
| Construction Industry Scheme | Assurance that contractors are compliant with the scheme | 2007/8 | | |
| Hidden economy selection and interventions | Identification of arrears and underpayment of taxes | Completed 07/03/2007 | High | 2007/8 |
| Operations - PAYE & SA Processing | | | | |
| Extended hours projects | Reviewing possible changes to the working hours within Large Processing Office | No explicit diversity screening activity deemed appropriate for 2 projects undertaken this year | Low | |
| Large Processing Office(LPO) LEAN | streamlining and improving LPO processes | All LPO offices and 17 DPO offices have introduced Lean to the business. There are various different stages of implementation. No explicit diversity screening activity deemed appropriate | Low | |
| Operations - National Processing: National Insurance Contributions Office (NICO) | | | | |
| LEAN processing | Impact of reviewing and streamlining processes. | March '07 | Medium | 2007/8 |
| Business Change Implementation Group | Business Change Implementation Group | March '07 | Medium | 2007/8 |

| Operations - National Processing: National Operational Services | | | | |
|---|--|-----------------------|--------|--------|
| Risk profiles | Evaluate diversity impact of risk profiles currently utilised within NOS processing sites | March '07 | Medium | 2007/8 |
| LEAN processing | Review and streamlining process within VAT registration | March '07 | Medium | 2007/8 |
| Operations - National Processing: Child Benefit & Tax Credits | | | | |
| Pre-Award/Claims | The pre award process enables HMRC to deal with all initial scrutiny issues prior to assessment of Tax Credits & Child Benefit for the public sector. This process aims to improve both the quality and accuracy of data and customer service. | March'07 | Medium | 2007/8 |
| Change of circumstances/ Amendments/ Renewals | CoC/Amendment's process maintaining Tax credit & Child Benefit awards | March '07 | High | 2007/8 |
| Adjudicator's Office | | | | |
| Provision of a revised copy of the Adjudicators office printed booklet to advise customers of how to access the Adjudicators office and their services. | Revision of customer booklet advising how to access the adjudicators office and their services | Completed 22/03/07 | Low | |

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| Relocation of Adjudicators Office from Haymarket, London to Euston Tower, London as part of the HMRC restacking exercise. | Arranging for office relocation from Haymarket to Euston Tower | Completed 22/03/07 | Low | |
| Creation of Process Assurance teams for allocation of suitable tax credits cases to create an efficient process for customers. | Creation of Fast Track and Turbo Tracking teams for allocation of suitable cases to speed up the process for customers. | Completed 22/03/07 | Low | |
| Processes used to decide how to prioritise complaints cases | Creation of Process Assurance teams for allocation of suitable cases to speed up the process for customers. | Complete 22/03/07 | Low | |

HMRC Race Equality Scheme Action Plan

Annex G

| Task/Action | Evidence of Achievement | Lead Responsibility | Risks | Review/ Completion date |
|--|---|---|---|--|
| 1. Promote Race issues within HMRC | | | | |
| Race Champion to sign up to Race Equality Scheme | Champion formally signs up to Race Equality Scheme and communicates their commitment to all staff | Race Champion | Lack of accountability. Scheme is not embedded. | Sept. 2007 |
| Hold a Race Conference | Conference advertised and held | Race Champion | Lack of interest | Nov. 2007 |
| Identify roles and responsibilities of the Race Champion, Race Network Co-ordinator and Corporate Responsibility and Diversity team. Improve communication channels. | A shared understanding and commitment to achieving priority race objectives | Race Champion, Race Network Co-ordinator and Corporate Responsibility and Diversity team. | Inconsistent messages to staff. Duplication of work. Priority actions not met or delayed. | Revised roles/ responsibilities document & further publicity on networks - July 07 |

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| Ensure roles and responsibilities for implementation are communicated via Diversity Action Plan | Business understands what needs doing, when and how, and includes this in business plans | Corporate Responsibility and Diversity team | RES will not be achievable, action plans unrealistic, and implementation will not occur | July 2007 |
| Obtain ministerial and Chairman's sign-off via submission setting out our legal requirements | Statement of Commitment signed by Chairman and Financial Secretary | Corporate Responsibility and Diversity team | Statutory guidance will not be met No accountability and commitment to deliver | Sept 2007 |
| 2. Identify relevant functions and policies | | | | |
| All business areas to use online screening tool to assess relevance of new and changed policy | The relevant policies are identified for impact assessment and included in business plans | All Directors of all Business Areas | All relevant activities won't be identified for impact asst | Ongoing |

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|--|---|----------------------|--|-----------------|
| <p>Each business area to review the relevance of its functions and policies listed in the Departmental Plan within the lifetime of this scheme</p> | <p>Functions and policies listed on original plan are revised for changed/ongoing impact using the screening tool</p> | <p>All Directors</p> | <p>Functions and policies 'screened out' may now be relevant due to political, departmental, or community change.</p> <p>Those with relevance may have not yet been impact assessed.</p> | <p>May 2008</p> |
| <p>3. Impact Assessment</p> | | | | |

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| <p>Review revised online guidance, and undertake quality assurance of completed impact assessments</p> | <p>Feedback and review process in place, highlighting lessons learned. Guidance amended to include best practice. Areas identified as causing difficulty addressed.</p> | <p>Corporate Responsibility and Diversity team</p> | <p>Guidance becomes out of date and is not used.</p> <p>Guidance does not reflect current legal guidance.</p> <p>Staff have difficulty using it and EQIAs differ in quality</p> | <p>Jan 2008</p> |
| <p>Business areas to report quarterly to Corporate Responsibility and Diversity team on impact assessment work undertaken</p> | <p>All reports submitted and collated on a quarterly basis</p> | <p>Directors of Business Areas</p> | <p>Inconsistencies not identified.</p> <p>Best practice not collated</p> <p>Dept cannot show that legal duty is being met</p> <p>Cannot monitor progress</p> | <p>June 2007</p> <p>Sept 2007</p> <p>Dec 2007</p> <p>April 2007</p> |

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| Publish the results of impact assessments carried out | Final assessments published on our website, which incorporate the results of consultation | Corporate Responsibility and Diversity team | Dept cannot show legal duties being met Late engagement with stakeholder groups | Annually |
| Update the Departmental Action Plan to reflect impact assessments completed | Departmental Action Plan reflects HMRC's latest position on impact assessing | Corporate Responsibility and Diversity team | Could not show progress being made | Quarterly |
| Carry out full assessment and consult on all those functions and policies rated as high for relevance to race equality | <ul style="list-style-type: none"> Assessments concluded, results published Consultees' feedback | All Directors | Failure to comply with statutory duty | May 2008 |
| 4. Improve accessibility of information and services for external customers | | | | |

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| <p>Promote Network at HMRC events, e.g. Spring School, Race Conference</p> | <ul style="list-style-type: none"> • Network more widely representative of all ethnic groups • Increase the Network's profile around HMRC, to encourage its use for consultative purposes | <p>Race Champion and Network Co-ordinator</p> | <p>Staff not aware of Network, so limited membership</p> <p>Limited consultation on internal functions and policies</p> | <p>Nov 2007</p> |
| <p>Establish a mentoring scheme within the Network</p> | <ul style="list-style-type: none"> • Framework in place for mentors • Evaluation process in place • Members' personal development improved | <p>Race Network Co-ordinator</p> | <p>Network disjointed</p> <p>Staff leave Network as they see no personal benefit</p> | <p>Sept 2007</p> |
| <p>Network Co-ordinator to establish a formal process for responding to Departmental consultation requests</p> | <ul style="list-style-type: none"> • Agreed and effective process in place • Constructive feedback given in agreed timescales | <p>Race Network Co-ordinator</p> | <p>Dept not able to consult effectively on Race Strategy and EQIA work</p> <p>Statutory requirements not met</p> | <p>August 2007</p> |

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|--|--|--------------------------------|--|---------------------------|
| Carry out accessibility review of IT service | | Information Management Systems | HMRC IT systems inaccessible to staff and customers | May 2008 |
| b) External | | | | |
| Quarterly progress review with the Race Equality Advisory Panel (REAP) | <ul style="list-style-type: none"> • Meetings held • REAP actively feed into ongoing Dept. planning on Race • Best practice from inside and outside HMRC used to inform ongoing actions on Race | Race Champion | Dept. not fully benefiting from REAP | Quarterly, from July 2007 |
| REAP to undertake visits to HMRC offices | <ul style="list-style-type: none"> • Panel members to gain a wider knowledge of the Department and use this to enable them to offer appropriate advice to HMRC • Business areas understand Race implications of their work | Race Champion | REAP advice not easily translated for HMRC work Dept not fully benefiting from REAP | Ongoing, from July 2007 |

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| Evaluate the success of consultation exercises held. Include best practice in updated online EQIA guidance | <ul style="list-style-type: none"> • Consultation targetted more effectively and is more productive • Online guidance reflects best practice | Corporate Responsibility and Diversity team | EQIA work not improved by using experience Consultative groups lose interest/buy-in | Jan 2008 |
| 6. Training and Development | | | | |
| Finalise and publish revised online guidance and templates for staff involved in carrying out impact assessments | Staff aware of their responsibilities, and with sufficient knowledge, to undertake impact assessments | Corporate Responsibility and Diversity team | Impact assessments not carried out, or carried out inconsistently | August 2007 |
| Launch updated online Diversity and Equality training for all staff , including cultural awareness training | Diversity and Equality training available on the Intranet for all staff | HR&L/ Corporate Responsibility and Diversity team | Staff will not understand their duties under the RES Statutory duties not met | June 2007 |

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|--|---|--|--|-----------|
| Diversity Champion to launch new training products to all staff | Positive message on launch reinforcing commitment | Corporate Responsibility and Diversity team | Launch not high profile Staff not fully aware of packages and importance of training | Oct 2007 |
| Evaluate Diversity training products | <ul style="list-style-type: none"> • Evaluation process set up • Can show progress in staff knowledge | HR&L/ Corporate Responsibility and Diversity team | Diversity products not meeting staff need Legal requirements not understood or met | Sept 2007 |
| Launch a new staff development programme aimed at under-represented groups | <ul style="list-style-type: none"> • Programme in place • Staff signed up to it | HR&L / Corporate Responsibility and Diversity Team | Under-represented groups not given opportunities to progress Representation targets not met | Nov 07 |

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| Include awareness training on the RES in induction training for all new staff | Induction package includes awareness of legislation and individual and departmental responsibility | HR&L/ Corporate Responsibility and Diversity team | New staff will not understand their duties under the RES New staff unaware of HMRC commitment to RES | Sept 2007 |
| Review project and process training for all staff and take opportunities to integrate RRA requirements | All training packages are reviewed to include equality considerations | HR&L | Race equality not mainstreamed | Dec 2008 |
| Carry out refresher training for relevant HR&L staff on the Employment Duty | <ul style="list-style-type: none"> • Staff understand monitoring requirements • Processes are in place and regularly reviewed | | Statutory Duty not met | Sept 2007 |
| 7. Monitoring | | | | |
| Resolve IT issues with online ethnicity data monitoring, to ensure that accurate information is held | All staff correctly allocated into the correct categories as used by the Census | Information Management Systems/ Corporate Responsibility and Diversity team | Non-compliance with Statutory Duties | Sept 2007 |

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|--|--|---|--------------------------------------|-------------|
| Launch initiative to increase HMRC's ethnicity declaration rate | <ul style="list-style-type: none"> • Declaration rates will increase • The only 'unknowns' are those who have chosen not to declare • More robust basis for monitoring and analysis | Corporate Responsibility and Diversity team | Non-compliance with Statutory Duties | Oct 07 |
| Review monitoring requirements under the Employment Duty. Develop a template for future reporting to include a Nationality category and a more detailed breakdown by Business Area/grade, etc. | <ul style="list-style-type: none"> • Template in place • Action Plan developed and communicated | Corporate Responsibility and Diversity team | Non-compliance with Statutory Duties | August 2007 |
| Introduce online system for recruitment of Grade 6/7 staff | System successfully launched | HR&L Leadership and Talent Team | Incomplete and inaccurate data | April 2008 |
| Collect, analyse and publish data on level transfers, by business area | <ul style="list-style-type: none"> • System for collection of data in place • Results analysed and published | HR&L | Statutory duties not met | May 2008 |

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|--|---|--|---|------------|
| Launch new Exit questionnaire for leavers. Analyse and publish the results. | <ul style="list-style-type: none"> Exit questionnaire online Results analysed and published | HR&L Specialist Delivery Team | Statutory duties not met | Dec 2007 |
| Develop Departmental monitoring strategy linked to the HMRC Fair Processing Statement | <ul style="list-style-type: none"> Strategy published and staff aware Monitoring systems in place | Corporate Responsibility and Diversity team | Monitoring inconsistent and insufficient to meet stat. duties | April 2008 |
| Establish a process to analyse the information revealed by the questions on ethnicity in the national Staff Survey | <ul style="list-style-type: none"> Process in place Results disseminated, analysed and published | Corporate Responsibility and Diversity team and Knowledge, Analysis and Intelligence | Statutory Duties not met in relation to making use of qualitative and quantitative data sources | Oct 2007 |
| Carry out an EQIA on our external complaints process to establish the nature of any equality complaint received | <ul style="list-style-type: none"> EQIA report published Feedback received Better data on the racial group of complainants, which can then be used in the EQIA process | Customer Contact Directorate | <p>Lack of data on impact of customer-facing activity limits ability to carry out EQIAs</p> <p>Statutory Duties not met</p> | Oct 2007 |
| 8. Procurement | | | | |

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|---|---|----------------------------|--|-----------------|
| <p>Publish information and encourage individuals and organisations from under-represented groups to tender or compete for contracts</p> | <ul style="list-style-type: none"> • All communities are encouraged to participate in the tender process. • Wider range of tenders received | <p>Commercial Division</p> | <p>General Duty not met Contractors not aware of HMRC duties</p> | <p>Jan 2008</p> |
|---|---|----------------------------|--|-----------------|