

People and Equality Impact Assessment

This document fulfils the ICO's requirements to conduct Equality Impact Assessments, as a requirement to have due regard under the Equality Act. This document helps you to assess the equality relevance of a policy or procedure on one or more groups of people with protected characteristics. Guidance is also available for People and Equality Impact Assessments (PEIAs), which you can access [through this link](#), along with a glossary of issues to consider, which you can access [through this link](#). The purpose of PEIAs is to ensure that equality issues are identified and mitigated. The guidance and "issues to consider" documents are intended to assist with this, but they are not a substitute for consultation with people with lived experience of any of the protected characteristics. Therefore, you should, wherever appropriate, consult with the relevant EDI staff networks or other colleagues to discuss potential impacts.

You must read the guidance and glossary before completing the document.

Please tick here to confirm that you have read the [guidance](#).

Please tick here to confirm that you have read the [glossary of issues to consider](#).

Completed PEIAs will be published [on the ICO's website](#).

Summary

Please provide your name.

Answer: DH

What is the title of this piece of work? Please try to ensure that this is likely to be understandable to everyone in the ICO.

Answer: ICE Implementation Safe and Stable

Briefly describe the overall purpose of this work.

Answer: The CRM server farm has been developed to support the maintenance of the public register and associated collection of fees as well as DP and FOI complaints, advice, information requests, and personal data breaches.

Since ICE registration was delivered in 2013 the register has grown considerably, as has the ICO, and the number of staff using ICE. Though updates have been made along the way, ICE is unrecognisable from what was delivered eight years ago, and a replacement of the infrastructure that ICE sits on is required; additionally the ICE casework system was first rolled out in 2018, and subsequently replaced the legacy system, CMEH, in 2020. This has meant that ICE is now used to carry out the vast majority of tasks related to casework functions.

Expansion of the register and the ICO has meant that our work has increased, and we project that it will continue to increase in the future. Work is therefore required to update the infrastructure underpinning ICE 360 and ICE Registration from its current on-premise server farm onto cloud-based infrastructure.

Initial screening questions

Q1. Does this work relate to an ICO policy, procedure, working practice or anything broadly similar? This includes both current policies and new policies under development.

Please answer Yes or No

Answer: Yes

*If you answer **No** to this question, you may not need to complete a PEIA. PEIAs are only required for policies, procedures and similar. However, with the ICO's commitment to equality, we would like PEIAs to be completed for as much of our work as possible. This should be beneficial in ensuring that you consider any potential equality issues while developing work.*

Q2. Is this work about the explanation of the laws which the ICO regulates, or about decisions to use or not use any of our regulatory powers (e.g. monetary penalties, enforcement notices, information notices etc)?

Please answer Yes or No

Answer: No

*If you answer **Yes** to this question, you may not need to complete a PEIA. You do not need to do a PEIA in coming to a decision regarding regulatory action, or explaining how the law operates, as equality considerations are assumed to be part of the laws. However, in areas such as guidance or anything similar, you should definitely complete a PEIA.*

If a PEIA is not required, the person with responsibility for this piece of work should decide whether a PEIA should be completed.

Impact on people with protected characteristics

The issues to consider annex, [available through this link](#), sets out some issues that you should consider for each protected characteristic.

Q3. For each of the protected characteristics, you should consider whether there are any **positive impacts** for people with each characteristic and set those out in the table below. If you think there are any **negative impacts**, set those out in the table below **and** explain how you will fully mitigate those impacts. If you think there is no impact, please explain why you think that is the case.

Protected characteristic	Is there likely to be a specific impact on people with this characteristic?	Will the mitigation you have identified fully mitigate all of the negative impacts, such that there is a positive impact or no impact?
Religion or belief	No. No specific action is required by staff on days which may conflict with religious beliefs. Inclusivity is promoted by a lack of barriers relating to religion or belief in using the systems.	Positive impact in that there is a lack of barriers relating to religion or belief in using the systems.

Protected characteristic	Is there likely to be a specific impact on people with this characteristic?	Will the mitigation you have identified fully mitigate all of the negative impacts, such that there is a positive impact or no impact?
Race, nationality or cultural background	No, Welsh language has been considered and is factored into the systems, including email template response options in Welsh.	No impact.
Disabled people	Customers with a sight impairment may request that emails and letters are sent in a particular format. In responding to a customer's reasonable adjustments, case officers are able to create the desired format, e.g. large font, in a Word document and send that as an email attachment, or as a printed letter by post. ICE 360 and ICE Registration will be compatible with other Microsoft compatibility options.	Yes, the mitigation will fully mitigate all negative impacts, so that there is no impact. ICE 360 and ICE Registration will be compatible with other Microsoft compatibility options, and feedback collection and testing of functionality will be ongoing as the systems are regularly patched.
Sexual orientation	No, this data is not a requirement in order to complete casework or registration work, and is not collected in either system.	No impact.
Sex (see note 1)	In ICE 360, the 'Title' field is a non-mandatory free text box; however the 'Title' field in ICE Registration has a drop-down menu list to choose from rather than a free text box. Because the field is non-mandatory, this mitigates the impact that someone may experience as a result of not having their preferred title represented.	Yes but we have taken an approach to minimise the risk of discrimination on the basis of sex, leaving the "Title" field optional

Protected characteristic	Is there likely to be a specific impact on people with this characteristic?	Will the mitigation you have identified fully mitigate all of the negative impacts, such that there is a positive impact or no impact?
Age	Age is flagged when we are collecting childrens' data as per GDPR requirements, but this is a legislative requirement and therefore does not impact people with this characteristic.	No impact, we collect age data for child data subjects only as a legislative requirement.
Gender reassignment (see note 2)	In ICE 360, the 'Title' field is a non-mandatory free text box; however the 'Title' field in ICE Registration has a drop-down menu list to choose from rather than a free text box. Because the field is non-mandatory, this mitigates the impact that someone may experience as a result of not having their preferred title represented.	Yes but we have taken an approach to minimise the risk of discrimination on the basis of gender reassignment, leaving the "Title" field optional.
Marital status	No, this data is not a requirement in order to complete casework or registration work, and is not collected in either system.	No impact.
Pregnancy and maternity	No, this data is not a requirement in order to complete casework or registration work, and is not collected in either system.	No impact.
Political opinions	No, this data is not a requirement in order to complete casework or registration work, and is not collected in either system. There is a tick-box in ICE 360 to mark a case as 'MP Correspondence', but this does not require any further information, e.g. political alliance, so therefore cannot be used for bias.	No impact.

Protected characteristic	Is there likely to be a specific impact on people with this characteristic?	Will the mitigation you have identified fully mitigate all of the negative impacts, such that there is a positive impact or no impact?
People with dependants	No, this data is not a requirement in order to complete casework or registration work, and is not collected in either system.	No impact.
People without dependants	No, this data is not a requirement in order to complete casework or registration work, and is not collected in either system.	No impact.
Socio-economic groups or social classes (see note 3)	No, this data is not a requirement in order to complete casework or registration work, and is not collected in either system. Furthermore, customers unable to access the internet can still utilise postal correspondence in lieu of email correspondence.	No impact.
Multiple protected characteristics (see note 4)	No impact identified. Feedback and further continuous testing as the solution is implemented and in use will ensure that any unforeseen impacts can be considered and mitigated.	No impact.

Note 1: you may also wish to consider gender while considering sex, although gender is not a protected characteristic under the Equality Act.

Note 2: you may wish to consider the impact on transgender people while considering people undergoing gender reassignment, although gender is not a protected characteristic under the Equality Act

Note 3: Socio-economic group or social class is not a protected characteristic, but we would still like to ensure that we consider the impact of our work in this area.

Note 4: Multiple protected characteristics is an opportunity to consider whether there are issues which affect people with most or all of the protected characteristics, or where there may be different impacts of the same issue

on different characteristics (e.g. the same issue has a positive impact on people with one protected characteristic but a negative impact on people with another protected characteristic)

If you state that for any negative impact the mitigation you have identified will not be able to fully mitigate the negative impact, you will need to contact HR to discuss next steps. Details are provided at the end of this document.

Q4. The ICO's Welsh Regional Office has a statutory requirement to provide services through the medium of the Welsh language. Will there be a requirement for this work to include a Welsh-language element?

Please answer Yes, No or Don't Know

Answer: Yes

*If you answer **Yes or Don't Know** to this question, you will need to contact the Welsh Regional Office to discuss next steps.*

Contributing towards the ICO's equality objectives

Q5. How does this work contribute towards the ICO's equality objectives? For each of the objectives in the table below, please explain how the work you are doing will contribute to achieving this objective or state "no contribution". If there are ways that the contribution could be increased, please also mention them here.

Objective	Contribution to objective
Objective 1: <u>Spreading knowledge and taking action</u> : We will raise awareness of information rights across the community and take action to ensure that organisations fulfil their obligations. We will have	We record the sector of organisations on ICE, which could be used to inform an investigatory focus. Our approach has been to not collect any personal data which is surplus to requirements for case handling; to

Objective	Contribution to objective
<p>particular focus on groups and sectors where knowledge gaps may cause information rights inequalities or vulnerabilities. We will ensure that in our actions as a regulator we do not create inequalities or discriminate.</p>	<p>prevent positive or negative discrimination we only ask for the bare minimum necessary to process a complaint. Information collected may be used as evidence in investigations undertaken, and any sensitive content of documents relating to these investigations is stored in an online storage system, with appropriate access controls. Any information that is collected as part of a case is used to investigate and potentially take action against organisations in line with the ICO's objectives and regulatory priorities.</p>
<p>Objective 2: <u>Accessible services</u>: Our services and information will be accessible for users and potential users of our services, and we will provide our staff with the skills and knowledge they need to provide high quality services for all. We will try to anticipate customer needs and we will take action to remove barriers to our services when possible.</p>	<p>Customers are able to request reasonable adjustments, and processes are in place to implement the adjustments. ICE is accessible to most ICO staff on a job-role basis which is tailored to a specific business function, so access is determined by business need. Efforts have been made to make training resources accessible using different media formats, and training documentation produced by the project team has been reviewed for accessibility using Microsoft functionality. The project remains open to future considerations and suggestions in order to remove barriers to our services.</p>
<p>Objective 3: Encouraging others: We will use our status as a regulator, advisory body and purchaser of services to influence improvements in equality by other organisations and across society.</p>	<p>We consider equality issues when engaging in IT contracting practices.</p>
<p>Objective 4: Employer: Our workplaces and practices will be accessible, flexible, fair and inclusive. We will value the diversity, skills, backgrounds and experience</p>	<p>ICE systems are accessible to all staff on a job-role basis, driven by business need.</p>

Objective	Contribution to objective
of our people, enabling them to perform to their best in a welcoming and supportive environment.	

Monitoring and evaluation

Q6. What arrangements are in place, or will you put in place, to monitor and evaluate the impact of the work on equality?

Answer: Colleagues have access to direct communication channels where they can raise any issues or barriers, including those related to equality.

Q7. How long will these arrangements be in place?

Answer: Our IT Help team now receive all issues and feedback from staff as tickets via a ticket management system; this arrangement will be ongoing as part of BAU support.

Q8. When do you intend to review this monitoring to assess the impact of this work on equality? This should usually be done no later than a year after implementation and may need to be ongoing as part of regular review of the work.

Answer: Monitoring will take place directly following implementation in the form of testing and the regular engagement of users, but no significant change to user experience is expected, as this piece of work is an infrastructure upgrade only. A further PEIA will be submitted if any changes to the user interface are anticipated in future.

Publication

Q9. As stated above and in the guidance, we intend to publish all completed PEIAs on the ICO's website. Are there any parts of your answers to the questions above which need to be redacted prior to publication? Should

publication be delayed until a certain date? If so, please provide details for each of these questions in the box below.

You should also review the wording to ensure that it is likely to be as understandable as possible to any member of the public.

Answer: Can be published

Conclusion and sign-off

Thank you for completing this PEIA.

You should ensure that the person with overall responsibility for the piece of work the PEIA refers to is content that all potential equality issues have been identified and considered, that appropriate monitoring will be in place and the publication issues have been considered. This might be you, your line manager or someone else in the ICO. Therefore, you may need to provide this PEIA form to that person for review prior to completing it.

Please tick here to confirm that you have consulted with the relevant EDI staff networks or other colleagues where appropriate.

Please state here who has signed off the PEIA.

*Signed off by:*JM

At each of their meetings, the EDI Board will receive a summary of the PEIAs which have been completed over the previous six weeks. However, the role of the EDI Board is **not** review and approval of PEIAs, rather overall assurance that the PEIA process is operating effectively.

For the actions which you have identified, you must complete a PEIA action plan, which you can access at [this link](#).

If you have identified that there are any negative impacts to any protected characteristics that you cannot fully mitigate (so that despite your best efforts, there will still be a negative impact to people with that protected characteristic), you must contact HR for advice.

Please send your completed form to corporategovernance@ico.org.uk for storage and publication.

Version	Changes made	Date	Made by
0.1	First draft	February 2022	DH
0.2	Comments added	March 2022	JW
0.3	Second draft	March 2022	DH