

# project overview: NEAT tool

our approach and deliverables

## introduction

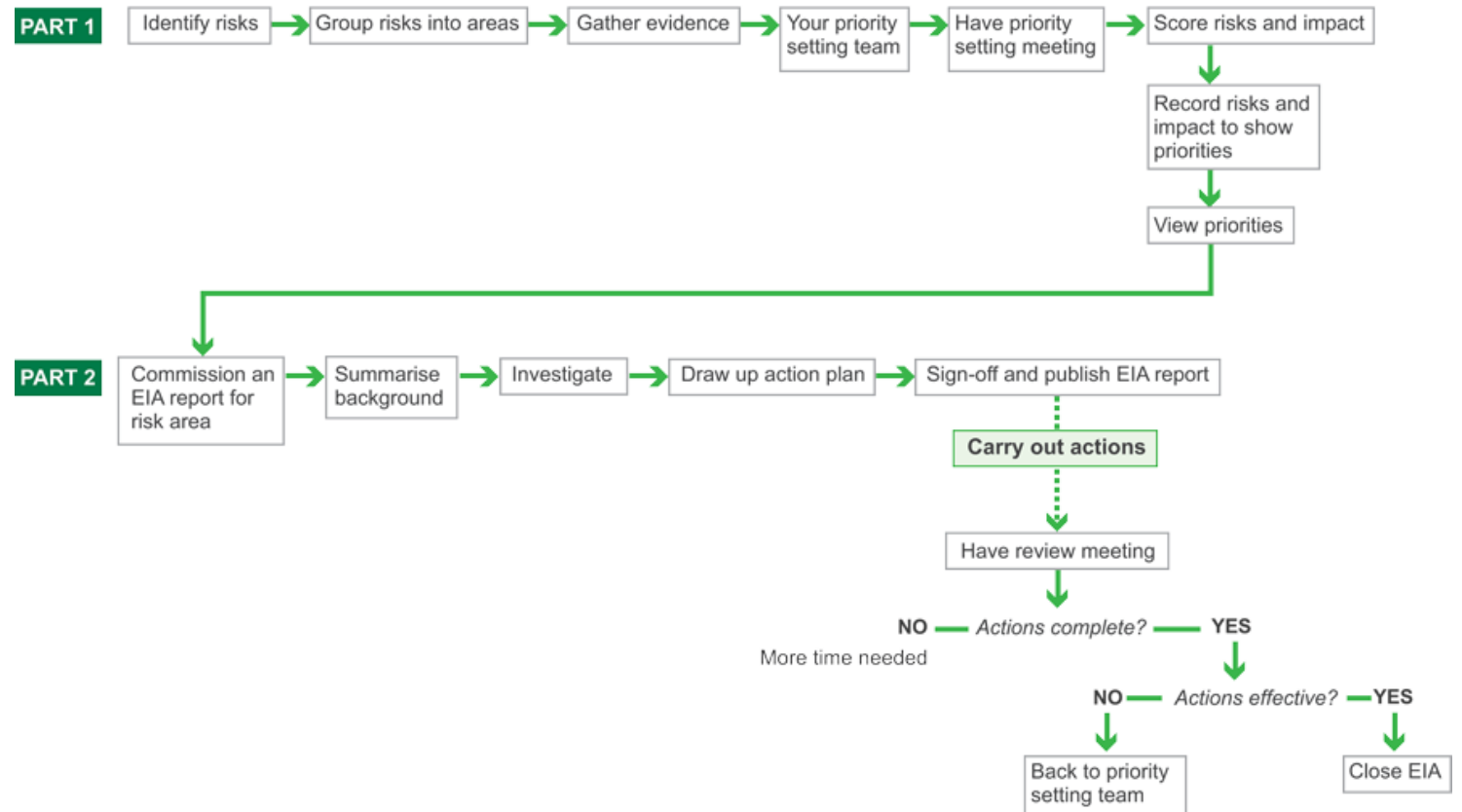
### What is NEAT?

The *NOMS Equality Impact Assessment Tool* was created to help record, manage and eliminate the risks associated with inequalities experienced by offenders in prison or on probation.

The prototype tool is an Excel file with added macros. It contains a set of forms and guidance which cover all the steps involved in an Equalities Impact Assessment, from gathering evidence and setting priorities to completing an Equality Impact Assessment (EIA) report.

#### Overview of the NEAT process

Our clients' understanding of the process was refined during the project. This final diagram wasn't produced until the last week of the project.



process

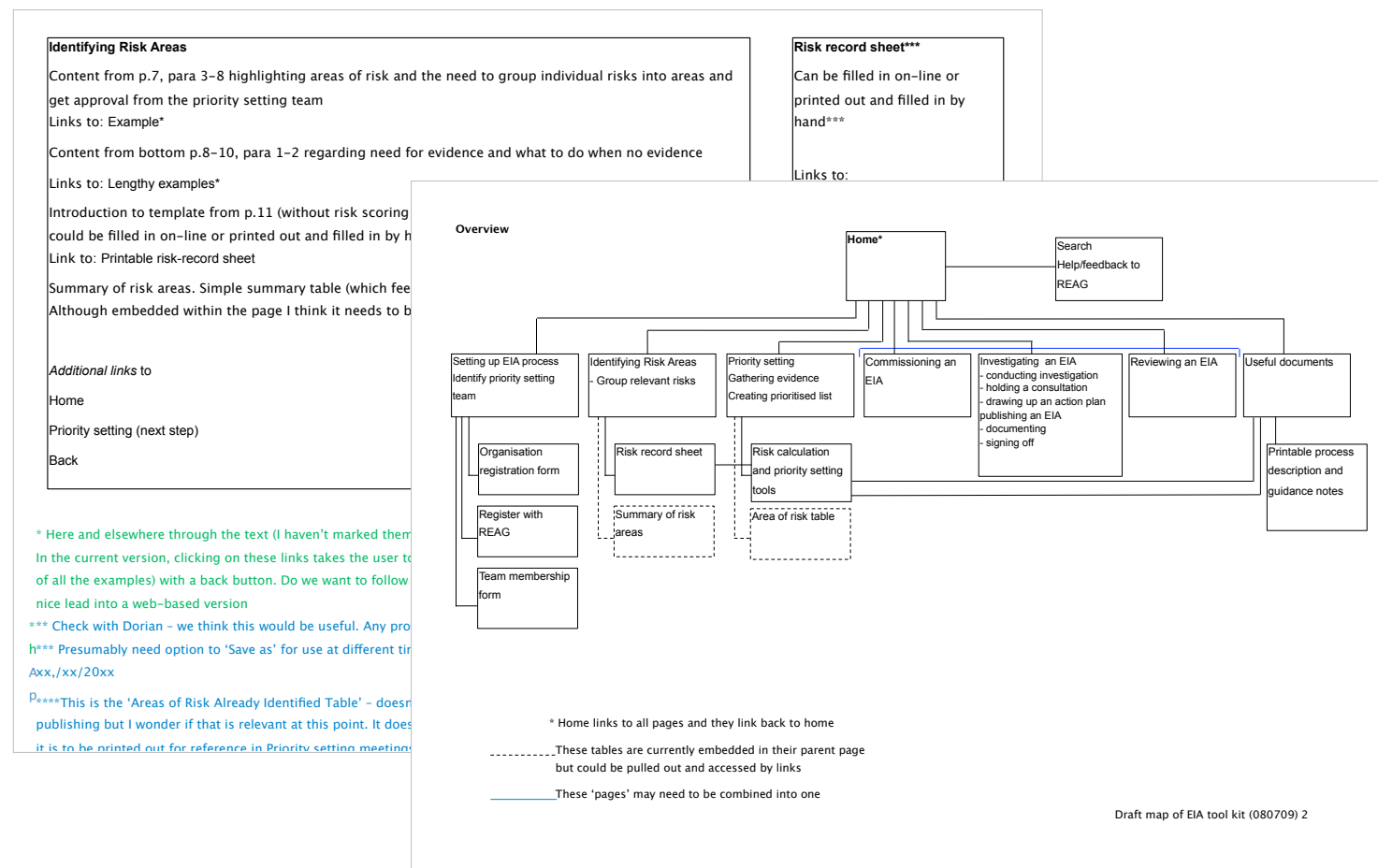
## Starting work

We read all the documents, reviewed the prototype Excel tool and talked to the team.

We began with a review of the whole process to understand how it works. We sketched initial flow diagrams and made notes to aid discussion and understanding.

### Word docs outlining the process

To help clarify how this tool could be used to create Equalities Impact Assessment reports, we created structure maps and presented our understanding of how the tool could work in MS Word docs to discuss with our clients.



process

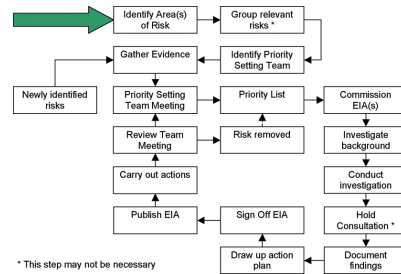
## Clarifying what happens when and who's responsible at each stage

As part of our breakdown and analysis of the whole process we discussed:

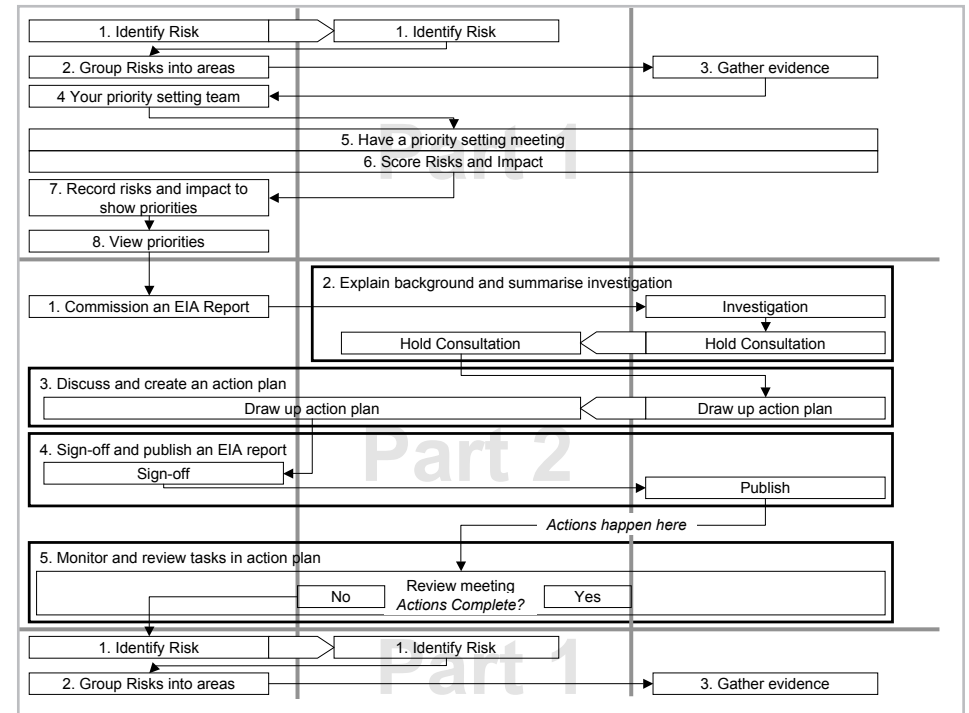
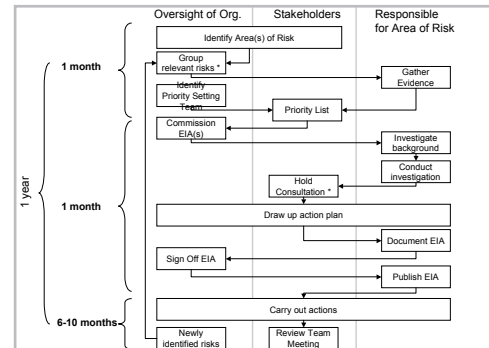
- » who is responsible at each stage
- » what happens before and after the process
- » how the process is supported by other organisational structures and procedures.

This was an iterative process and one output was a revised overview diagram of the whole process (see page 5).

Client's original overview diagram



Client's revised overview diagrams based on discussions with Text Matters



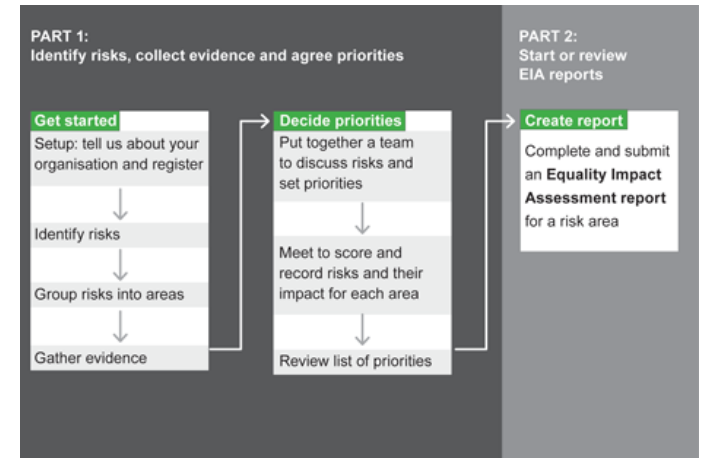
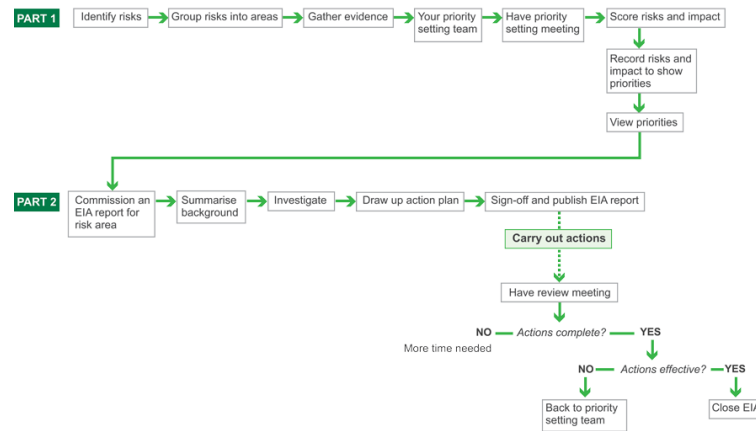
process

## Diagrams showing what happens when and who's responsible at each stage

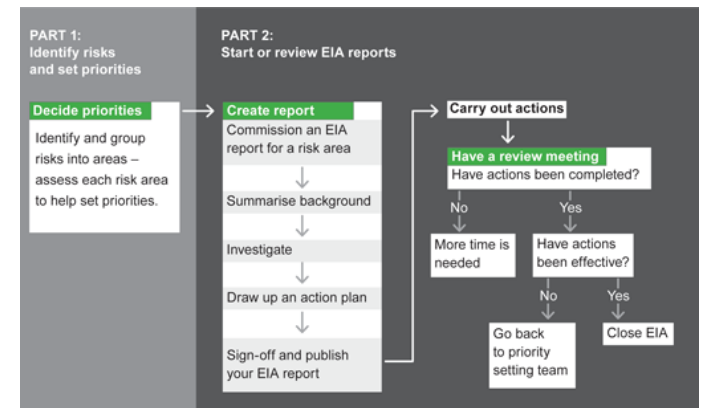
We created some simple diagrams to show users how the process works at a glance, and who should be responsible for doing what at each stage.

### Our simplified overview diagrams and tables

We worked with the NOMS team to refine the process and therefore the overview diagram. We then created separate tables to show responsibility for each step in the process.



	Senior manager	Stakeholders	Responsible for risk area
<b>PART 1</b>			
Identify risks	✓	✓	
Group risks into areas	✓		
Gather evidence			✓
Your priority setting team	✓		
Have a priority setting meeting	✓	✓	✓
Score risks and impact	✓	✓	✓
Record risks and impact to show priorities	✓		
View priority list	✓		
<b>PART 2</b>			
Complete and submit an Equality Impact Assessment report for a risk area	✓	✓	✓



## user interface

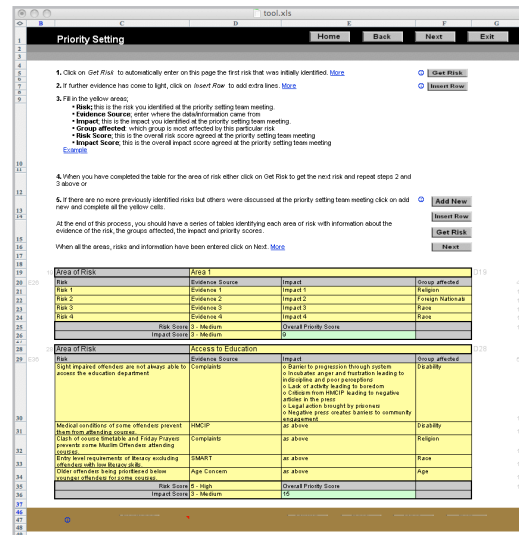
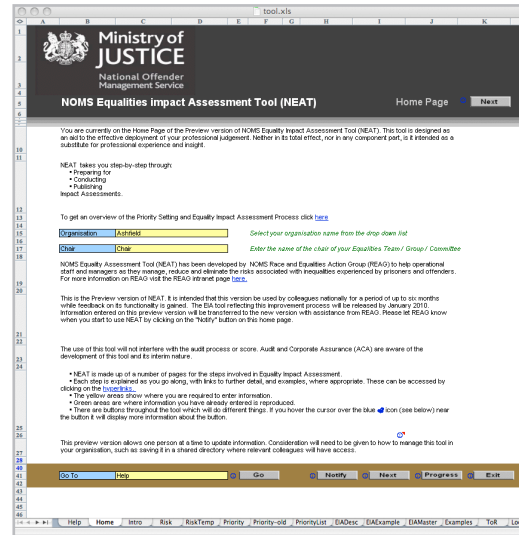
# Simple design to reflect streamlined process

We worked within the MOJ brand to create a page design that helps understanding and reflects the simplicity of the streamlined and simplified process.

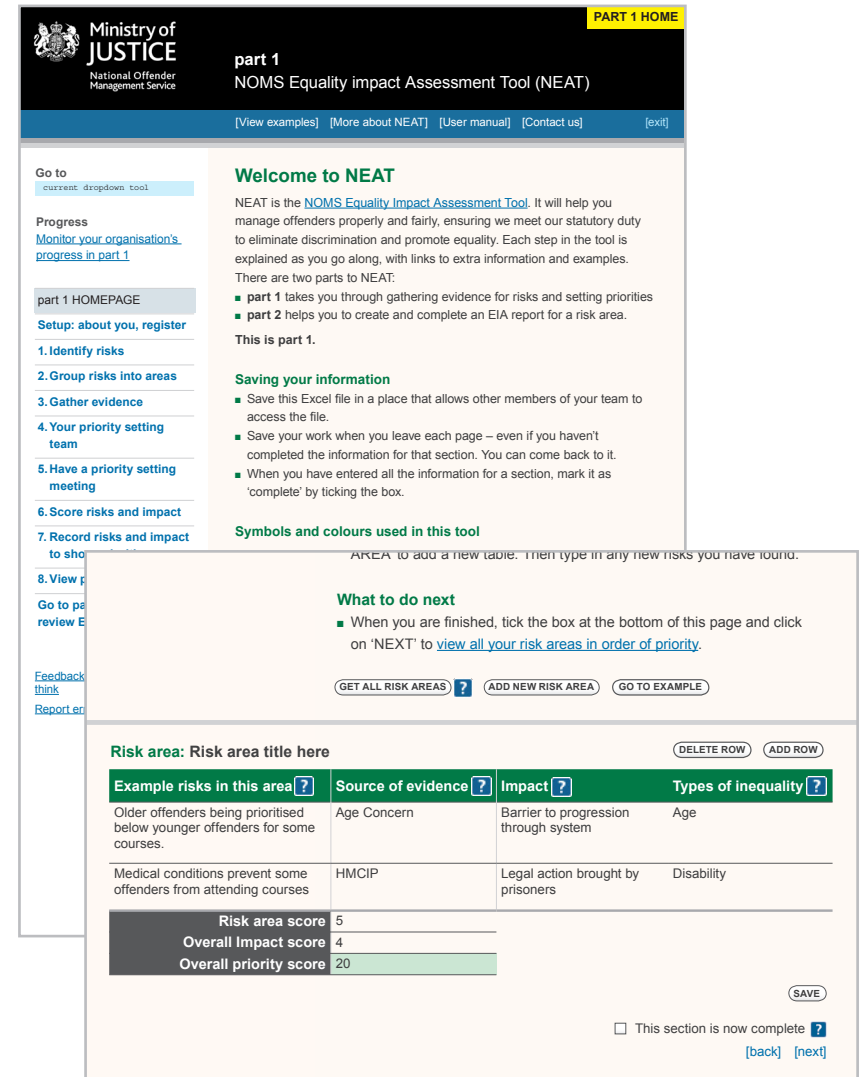
Clarity, using white space, and as little text as possible were key to making a page that looks uncluttered and inviting.

Our detailed design work (see page 7) included re-presenting existing diagrams more clearly, and creating all the graphic elements, such as a buttons and icons, that were needed in the tool.

## Original tool in MS Excel



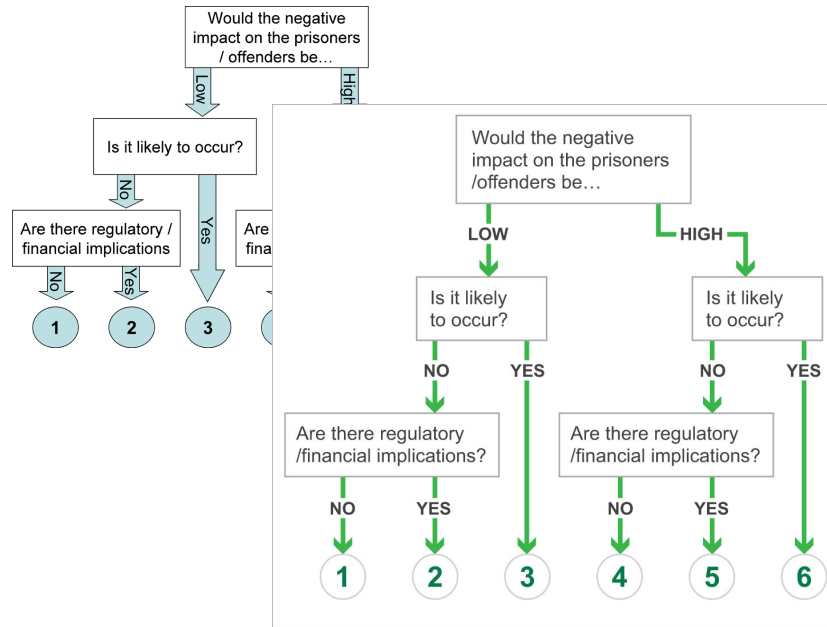
## New design



## user interface

### Detail design elements

#### Original and revised diagrams



#### Range of buttons and icons



EMAIL REAG

GO TO EXAMPLE

PRINT

SAVE

GET ALL RISK AREAS

UPDATE PRIORITY LIST

#### Navigation and interactive elements

The screenshot shows the Ministry of Justice National Offender Management Service interface for 'part 1 NOMS Equality impact Assessment'. It includes a header with the Ministry of Justice logo and the text 'part 1 NOMS Equality impact Assessment'. Below the header, there are navigation links: '[View examples]' and '[More about NEA]'. The main content area is divided into sections: 'Go to' with a 'current dropdown tool', 'Progress' with a link to 'Monitor your organisation's progress in part 1', and 'part 1 HOMEPAGE' with a link to 'Setup: about you, register...'. A table with columns 'Risk' and 'Source of evidence' is shown, with a row containing 'e.g. Inability to access Offender Behaviour Programme' and 'e.g. SMART'. Below the table, there is a 'What to do next' section with a list of tasks: 'Tick the box at the end of this page to show you have completed this section...', 'Go to step 2: 'Group risks into areas'', 'Gather evidence', and 'Set up a team to discuss priorities'. At the bottom right, there is a 'SAVE' button and a checkbox labeled 'This section is now complete' with '[back]' and '[next]' links.

## process/user interface

### Showing progress through tool

We decided that a page showing their progress through the tool would support users and make the overall process feel less daunting.

We drafted a page each for parts 1 and 2 of the tool, which outlined each step and what actions would mark that step as complete or overdue.

### Discussions and proposal docs

RE: progress tool: part 1 — 2198\_NOMStool

From: Crates, Dorian [NOMS]  
 Subject: RE: progress tool: part 1  
 Date: 20 July 2009 17:57:12 BST  
 To: Sandina Miller  
 Cc: Alison Black, Mark Barratt  
 1 Attachment, 36.5 KB

Hi Sandina,

Part 1 Progress tool with comments attached. As always I'll be guided by you but I'm not sure I understand the reason for some of the suggested changes.

Section	Text in popup or hover	Comments
Setup and register	You need to register by emailing the name of your organisation and Equalities Chair to REAG before continuing with Part 1 of the EIA tool. When you have filled in this information, clicking the 'small REAG' link will automatically send it and this section will be marked as 'done'. If you started using the rest of tool but have not sent the email, this section will be marked as 'overdue'.	
Gather evidence	You need to gather evidence of identified risks before your priority setting meeting. Tick the 'completed' box to show this section is 'done'. If this priority setting meeting has already happened, but you have not ticked the 'completed' box on the 'gather evidence' page, this section will be marked as 'overdue'.	
Have a priority setting meeting	This is the date fixed for your priority setting meeting.	
Score risks and impact	This is the date fixed for your priority setting meeting. You need to calculate the scores for the risk areas you discuss at your priority setting meeting.	This would just have the meeting date and no 'status' as such. 'score risks' section doesn't have a tick box or done/overdue status, it simply has the meeting date because this section has to be done at the meeting, and has to be done to fill in 'record...' which 'will' have a status.
Record risks and impact to show priorities	You need to record the details of the risk areas you have discussed as soon as possible after your priority setting meeting. Tick the 'completed' box to show this section is 'done'.	

### Mockups of the progress pages

Go to  
current dropdown tool

Progress  
Monitor your organisation's progress in part 1

#### Your organisation's progress in part 1

The table below shows you an overview of the tasks that are 'done' or 'overdue' in part 1 of the NEAT tool.

The tool works out the status of each task based on dates you have set, or whether you have clicked a tick box to say you have completed a section.

	Due date and status	
<a href="#">Setup and register</a>	overdue	?
<a href="#">Identify risks</a>	done	?
<a href="#">Group risks into areas</a>	done	?

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National Offender Management Service

part 2  
NOMS Equality impact Assessment Tool (NEAT)

Sample EIA [What is an EIA?] [Help/how to] [Contact us] [exit!]

Find an existing EIA report  
current dropdown tool

Start a new EIA  
[Your priority list page: start a new EIA report](#)

Progress  
Monitor your organisation's progress in part 2

[View combined action plan for all EIAs](#)

Print your EIA report  
[Generate and print your completed EIA report](#)

PART 2 PROGRESS

#### Your organisation's progress in part 2 PRINT

The table below shows you an overview of the tasks that are 'done' or 'overdue' in part 2 of the NEAT tool.

The tool works out the status of each task based on dates you have set, or whether you have clicked a tick box to say you have completed a section.

[Print an individual EIA progress chart](#)

To print a progress chart for an EIA, select the EIA using the dropdown below and click 'PRINT PROGRESS CHART'

current EIA dropdown tool PRINT PROGRESS CHART

	Due date/status for EIA reports			
	Education	Segregation	Catering	Other
Commission an EIA report ?				
Name of person responsible for this EIA ?				
Completion (EIA due) date ?	25/03/10			
Review due date ?	03/07/10			
Explain background ?				
Summarise investigation ?				
Discuss and create an action plan ?	12/05/09 overdue			
Sign off and publish your EIA report ?	16/07/09 overdue			
Monitor and review tasks in action plan ?				



user interface/process

## Refining the structure and content of the EIA template for Excel and MS Word

Part 2 of the tool is a detailed form for completing an EIA.

We reviewed the structure of the form to clarify the steps involved in an assessment for the user.

We also rewrote the question and instruction text, supporting this with small pieces of in-page guidance to help users complete the form with the right sort of information.

### Original EIA template in MS Excel

The screenshot shows an Excel spreadsheet titled 'tool.xls' with a 'Priority Setting' worksheet. It contains instructions for users to identify risks, assess their severity, and record them in tables. The tables have columns for Risk, Evidence Source, Impact, and Group affected. Two tables are shown: one for 'Area of Risk' and another for 'Access to Education'.

### Rewritten EIA template

The screenshot shows a document titled 'EIA form: key for types of text'. It provides a legend for different text styles used in the form: Section heading, Question heading, Instruction or question text, and Explanations to help answer the questions. Below the legend, it explains the purpose of various fields: 'This is supplementary/background text that should open in a pop-up box...', '[Example] = a link to the relevant part of the example case study text.', 'EIA form', 'Risk area', 'Overall priority score', and 'Commissioning'.

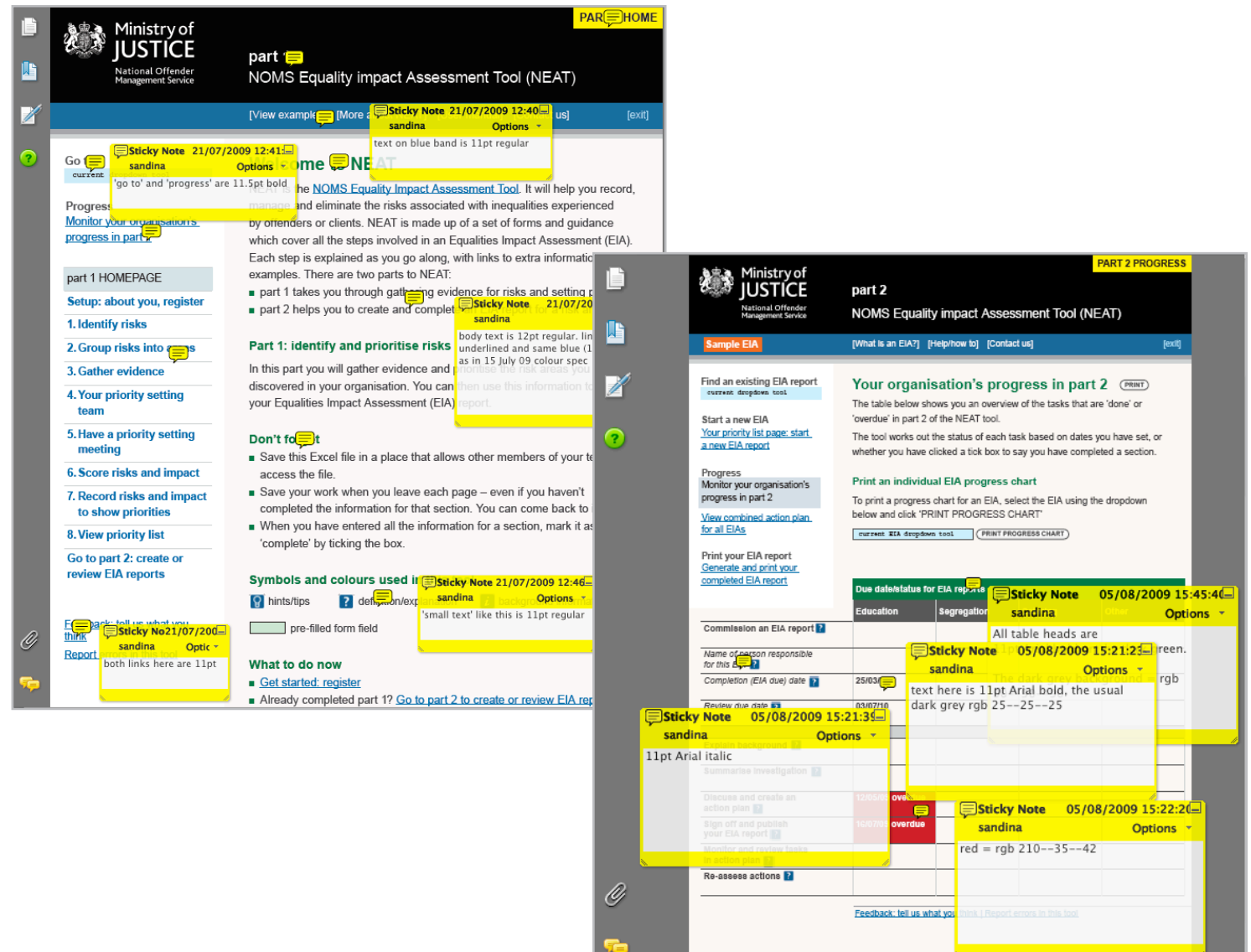
### EIA mockup and mandatory MS Word version

The screenshot shows a web-based user interface for the 'part 2 NOMS Equality impact Assessment Tool (NEAT)'. It features a navigation bar with 'Sample EIA', 'What is an EIA?', 'Help/how to', 'Contact us', and 'Exit'. The main content area is divided into sections: 'Find an existing EIA report', 'Start a new EIA', 'Progress', 'Print your EIA report', and 'part 2 HOMEPAGE'. The 'part 2 HOMEPAGE' section includes a '1. Commission an EIA report' step with a 'Who is affected?' dropdown menu. A 'GO TO EXAMPLE' button is visible in several places. The interface is designed to guide users through the EIA process.

specification

## Annotated mockups for detail design

We created detailed design mock-ups for each page, with instructions about layout and typography, so the NOMS team could recreate the design in Excel.




## User help documents: case study and manual

To support tool users we created a range of help documents which would be accessible from the tool. These included

- » a case study, which we wrote based on example information supplied
- » a user manual giving step-by-step instructions for using the tool, with examples of the sort of information needed at each step.

### User manual



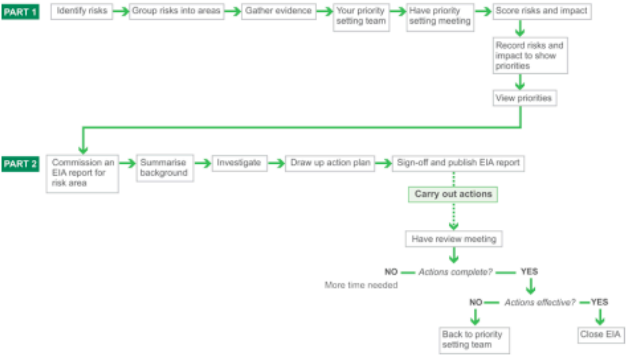
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## User manual for NOMS Equality Impact Assessment tool (NEAT)

NEAT is the *NOMS Equality Impact Assessment Tool*. It will help you record, manage and eliminate the risks associated with inequalities experienced by offenders. NEAT is made up of a set of forms and guidance which cover all the steps involved in an Equalities Impact Assessment (EIA). Each step is explained as you go along, with links to extra information and examples. There are two parts to NEAT:


- **part 1** takes you through gathering evidence for risks and setting priorities
- **part 2** helps you to create and complete an EIA report for a risk area.

This is an overview of the entire process from start to finish.



**Copying and saving the NEAT tool**

- Save a copy of the tool where your colleagues will be able to access it.
- The tool is in two parts – you need to save both parts in the same folder or directory, or the links between them will be lost.
- Do not rename either of the parts – again, the links between them will be lost.



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User manual for NOMS Equality Impact Assessment tool (NEAT)

### What sort of detail do I need?

Here are some examples of the level of evidence you need.

**Source of evidence 1:**  
A number of complaints have been received stating that visually impaired prisoners were unable to attend classes due to a lack of escorts.  
Risk area: Education  
Risk: Inability to access courses  
Group affected: Disabled prisoners  
Impact: Is not cited here and can be decided by the priority setting team

**Source of evidence 2:**  
The HMCIIP thematic review *No Problems; Old and Quiet. Older Prisoners in England and Wales* states '4.24 However, there were instances where severe medical problems made attendance at any formal meeting, let alone an intensive programme, impossible'. Anecdotal evidence suggests this may be happening in this organisation.  
Risk area: Education  
Group affected: Physically impaired offenders (disability)  
Risk: Inability to sustain attendance  
Impact: boredom, increased risk of re-offending

**Source of evidence 3:**  
A complaint has been received from a Muslim offender unable to attend a class due to a clash with Friday prayers.  
Risk area: Education  
Group affected: Muslims (religion)  
Risk: Inability to attend education courses  
Impact: Not stated


**Source of evidence 4:**  
SMART data identified an under-representation of White Other offenders attending Offender Behaviour Programs. Further investigation revealed a high incidence of low literacy skills in this group. This means that many who needed to did not meet the entry criteria for Offender Behaviour Programs, which has led to delays in discharge and may have an effect on future employability. The affected group identified feelings of anger and frustration.  
Risk area: Education  
Group affected: White Other Offenders with low literacy skills (race)  
Risk: Inability to access Offender Behaviour Program  
Impact: Parole denied, increased risk of re-offending and to security

**Source of evidence 5:**  
Age Concern have written to the Chair stating that offenders over the age of 65 have been told that for certain courses priority is given to working-age offenders.  
Area of Risk: Education  
Group affected: Older Offenders (age)  
Risk: Inability to attend education courses  
Impact: Not stated

### 4: Your priority-setting team

In this section you enter details of your chosen team members in the table. You can select who they represent from the dropdown list in the table.

There are three main points to remember when forming your team, which will enable the whole priority setting process to be as effective, credible and transparent as possible:



## supporting documents

### Suite of MS Word documents

As an additional piece of work at the end of the project we repurposed the part 2 EIA form text and structure to work in a Word (or hard copy) 'non-automated' version. This was a mandatory requirement for people not using the Excel tool.

We also laid out and edited a range of other Word documents relevant to the EIA process, including policy and terms of reference documents.

#### 1: HQ annexe

Policy	
Policy lead	
Group	
Directorate	

#### 3 and 4: Terms of reference documents

**Purpose**

**Review action plan**

- Review actions in Equality Impact Assessment (EIA) action plan
- Review the evidence and compare with evidence presented at EIA consultation
- Decide if actions have delivered sufficient reduction in risk.

**Identify risks**

- Identify any new or emerging risk
- Identify any actions that have not been identified
- Identify reasons behind any unsatisfactory outcomes

**The review team**

Terms of reference: who to include and what the review

Purpose.....

Review action plan.....

Identify risks.....

Referral to the Priority-setting team.....

Membership of the team.....

#### 2: mandatory EIA template

**Evidence**

Complete the table with the evidence you have gathered to date.

**Definitions**

**Example risks in this area** A risk is situation where there is a danger of an unfair and unequal outcome for a certain group of people. These are the risks you have already identified and grouped into this risk area, or you can add new risks that you have identified since then.

**Source of evidence** Where you got the information about the risk from – e.g. complaints, or SMART etc. These are the sources of evidence you have already, or you can add new sources that you have identified since then.

**Impact** The consequences of a risk occurring.

**Types of inequality** Types of inequality include: Gender, Race and foreign nationals, Disability (physical/mental), Age, Sexual orientation, Gender identity, Religion and belief.

Example risks in this area	Source of evidence	Impact	Types of inequality

Describe the evidence, and its source

Please give us more detailed information, commentary about the evidence and how

What is the composition of your offer

This information is important as it can help outcomes among the offender population. make sure you describe the ethnic makeu

NOMS Equalities Impact Assessment report

**step 4 of 7**

**Discuss and create an EIA action plan**

List the details relating to each action below

This is the series of steps that the organisation will take to address the inequalities should include all recommendations mentioned in the EIA.

**Definitions:**

**Person responsible** the person responsible for this action. It may help to foster or you can identify some actions that offenders can have responsibility for taking forward

**Status** an up-to-date status for the action (e.g. scheduled, ongoing, complete)

**Target date** the target date by when the action should be completed.

Action number	Issue to be addressed	Action to be taken	Person responsible	Status	Target date
1					
2					
3					
4					

**step 5 of 7**

**Sign off and publish your EIA report**

**Publication**

When you email this EIA to REAG they are legally bound to publish it on the Ministry of Justice's website. However, you need to make the EIA accessible to all the stakeholders