

APPENDIX 1

Equality & Health Impact Assessment for Public Health Wales Research Misconduct Policy and Procedure

Part 1

Please answer all questions:-

1.	For service change, provide the title of the Project Outline Document or Business Case and Reference Number	Public Health Wales Research Misconduct Policy and Procedure
2.	Name of Clinical Board / Corporate Directorate and title of lead member of staff, including contact details	Knowledge Directorate Elen de Lacy -Research and Evaluation Strategic Partnership Lead Ebst/Email: elen.delacy@wales.nhs.uk
3.	Objectives of strategy/ policy/ plan/ procedure/ service	The procedure outlines the action to be taken when allegations of misconduct in research are brought against any present or past member of staff in respect of research undertaken while in the employment of Public Health Wales.
4.	Evidence and background information considered. For example <ul style="list-style-type: none">• population data• staff and service users data, as applicable• needs assessment• engagement and involvement findings• research	The policy and procedure documents have been developed due to the absence of such a policy/procedure existing for PHW staff. It is related to other Policies, Procedures and Written Control Documents and this procedure should be read in conjunction with the following documents: <ul style="list-style-type: none">• UK Policy Framework for Health and Social Care Research

<ul style="list-style-type: none"> • good practice guidelines • participant knowledge • list of stakeholders and how stakeholders have engaged in the development stages • comments from those involved in the designing and development stages <p>Population pyramids are available from Public Health Wales Observatory and the 'Shaping Our Future Wellbeing' Strategy provides an overview of health need.</p>	<ul style="list-style-type: none"> • All Wales Whistleblowing Policy • PHW Respect and Resolution Policy • PHW Fraud, Bribery and Corruption Policy <p>It has been developed following discussion with Health and Care Research Wales, Swansea Bay and Betsi Cadwaladr University Health Boards, and Bangor University. It has also considered the following:</p> <p>1) Code of Practice for Research. Version: 3.0 (UK Research Integrity Office, 2023)</p> <p>2) Guidance on Good Research Practice (Wellcome Trust April 2022)</p> <p>3) Good Research Practice: Principles and guidance (Medical Research Council, July 2012)</p> <p>The policy has been recently reviewed (Spring 2023) with no significant changes received.</p>
<p>5. Who will be affected by the strategy/ policy/ plan/ procedure/ service</p> <p>Consider staff as well as the population that the project/change may affect to different degrees.</p>	<p>The procedure/policy will affect all PHW staff who are involved with research. The transparent procedure will support a research culture which emphasizes good practice/avoidance of deliberate malpractice. It will help promote the reputation of PHW as an organisation which values good research, and protects staff. As outlined in the UK Policy Framework for Health and Social Care Research 'Employers are expected to: take proportionate, effective action in the event of errors and breaches or if misconduct or fraud are suspected' (page 27). This policy and procedure will support this action.</p>

Part 2- Equality and Welsh language

6. EQIA / How will the strategy, policy, plan, procedure and/or service impact on people?

Questions in this section relate to the impact on people on the basis of their 'protected characteristics'.

How will the strategy, policy, plan, procedure and/or service impact on:-	Potential positive and/or negative impacts (unintended consequences) Opportunities or gaps	Action taken by Directorate. Make reference to where the mitigation is included in the document, as appropriate This column is to be updated in future reviews	Recommendations for improvement/ mitigation/ identified gaps or opportunities
6.1 Age For most purposes, the main categories are: <ul style="list-style-type: none"> • under 18; • between 18 and 65; and • over 65 	The development of the policy and procedure will not have a direct impact on service provision. The policy and procedure does not target any particular age group.	n/a	
6.2 Persons with a disability as defined in the Equality Act 2010 Those with physical impairments, learning disability, sensory loss or	The policy and procedure will have no prejudicial impact upon persons with a disability as defined in the Equality Act 2010.	n/a	

How will the strategy, policy, plan, procedure and/or service impact on:-	Potential positive and/or negative impacts (unintended consequences) Opportunities or gaps	Action taken by Directorate. Make reference to where the mitigation is included in the document, as appropriate This column is to be updated in future reviews	Recommendations for improvement/ mitigation/ identified gaps or opportunities
impairment, mental health conditions, long-term medical conditions such as diabetes			
6.3 People of different genders: Consider men, women, people undergoing gender reassignment NB Gender-reassignment is anyone who proposes to, starts, is going through or who has completed a process to change his or her gender with or without going through any medical procedures. Sometimes referred to as Trans or Transgender	The policy and procedure will have no impact upon people upon the basis of their gender	n/a	

How will the strategy, policy, plan, procedure and/or service impact on:-	Potential positive and/or negative impacts (unintended consequences) Opportunities or gaps	Action taken by Directorate. Make reference to where the mitigation is included in the document, as appropriate This column is to be updated in future reviews	Recommendations for improvement/ mitigation/ identified gaps or opportunities
6.4 People who are married or who have a civil partner.	The policy and procedure will have no impact upon people upon the basis of their marital status.	n/a	
6.5 Women who are expecting a baby, who are on a break from work after having a baby, or who are breastfeeding.	The policy and procedure will have no impact upon women who are expecting a baby, who are on a break from work after having a baby, or who are breastfeeding.	n/a	
6.6 People of a different race, nationality, colour, culture or ethnic origin including non-English speakers,	The policy and procedure will have no impact upon people of a different race, nationality, colour, culture or ethnic origin.	n/a	

How will the strategy, policy, plan, procedure and/or service impact on:-	Potential positive and/or negative impacts (unintended consequences) Opportunities or gaps	Action taken by Directorate. Make reference to where the mitigation is included in the document, as appropriate This column is to be updated in future reviews	Recommendations for improvement/ mitigation/ identified gaps or opportunities
gypsies/travellers, migrant workers			
6.7 People with a religion or belief or with no religion or belief. The term 'religion' includes a religious or philosophical belief	The policy and procedure will have no impact upon people with a religion or belief or with no religion or belief.	n/a	
6.8 People who are attracted to other people of: <ul style="list-style-type: none"> • the opposite sex (heterosexual); • the same sex (lesbian or gay); • both sexes (bisexual) 	The policy and procedure will have no impact upon people, based upon whom they are attracted to.	n/a	
6.9 People according to their income related group:	The policy and procedure will have no direct impact	n/a	

How will the strategy, policy, plan, procedure and/or service impact on:-	Potential positive and/or negative impacts (unintended consequences) Opportunities or gaps	Action taken by Directorate. Make reference to where the mitigation is included in the document, as appropriate This column is to be updated in future reviews	Recommendations for improvement/ mitigation/ identified gaps or opportunities
Consider people on low income, economically inactive, unemployed/workless, people who are unable to work due to ill-health	upon people according to their income.		
6.10 People according to where they live: Consider people living in areas known to exhibit poor economic and/or health indicators, people unable to access services and facilities	The policy and procedure will have no direct impact upon people according to where they live.	n/a	
6.11 Consider any other groups and risk factors relevant to this strategy, policy, plan, procedure and/or service	No other groups are considered to be impacted by this policy and procedure, nor have any other risk factors been identified.	n/a	

How will the strategy, policy, plan, procedure and/or service impact on:-	Potential positive and/or negative impacts (unintended consequences) Opportunities or gaps	Action taken by Directorate. Make reference to where the mitigation is included in the document, as appropriate This column is to be updated in future reviews	Recommendations for improvement/ mitigation/ identified gaps or opportunities
6.12 Welsh Language			
There are 2 key considerations to be made during the development of a policy, project, programme, service to ensure there are no adverse effects and/or a positive or increased positive effect on: (please note these will continue to be reviewed to ensure Public Health Wales fulfils their duties to comply with one or more standards outlined within the Welsh Language Standards (No 7) Regulations 2018)			
Opportunities for persons to use the Welsh language	The policy and procedure will be published and available online in English and Welsh.	n/a	
Treating the Welsh language no less favourably than the English language	The policy and procedure will be published and available online in English and Welsh.	n/a	

Part 3 – Health

Questions in this section relate to the impact on the health and wellbeing outcomes of the population **and** specific population groups who could be more impacted than others by a policy/project/proposal.

The part of the assessment identifies;

- which specific groups in the population could be impacted more (inequalities)
- what those potential impacts could be across the wider determinants of health framework?
- Potential gaps, opportunities to maximise positive H&WB outcomes
- Recommendations/mitigation to be considered by the decision makers

7. Identification of specific population groups

Use the WHIASU Population Groups checklist as a reference to identify the population groups who could be more impacted than others by a policy/project/proposal. The check list can be found on the PHW Integrated EqHIA guidance pages (requires link to PHW Intranet pages for additional information and resources)

The groups listed have been identified as more susceptible to poorer health and wellbeing outcomes (health inequalities) and therefore it is important to consider them in a HIA assessment. In a HIA, the groups identified, as more sensitive to potential impacts will depend on the characteristics of the local population, the context, and the nature of the proposal itself.

7.1 Groups identified	Rational/explanation

Assessment

Complete the wider determinants framework table below providing rational/evidence where appropriate:

1. Consider how the proposal could impact on the population and specific population groups identified above (positive/negative) for each of the wider determinants (the bullets under each determinant are there as a guide)

2. Record any unintended consequences (negative impacts) and/or gaps identified
 3. Record any positive impacts or missed opportunities to maximise positive health and wellbeing outcomes
 4. identify and record mitigation/recommendations where appropriate
- Please note** you may find that not all determinants are relevant to the project/plan however recording N/A is not acceptable a rational or evidence should be explained/referenced

Wider determinant for consideration	Positive impacts or additional opportunities	Unintended consequences or gaps	Population groups affected	Mitigation/recommendations
7.2 Lifestyles <ul style="list-style-type: none"> • Diet/nutrition/breastfeeding • Physical activity • Use of alcohol, cigarettes, e-cigarettes • Use of substances, non-prescribed drugs, abuse of prescription medication • Social media use • Sexual activity • Risk-taking activity i.e. gambling, addictive behaviour 	The policy and procedure will have no direct impact upon people being able to improve /maintain healthy lifestyles. It will support the generation of reliable evidence from research, to understand what works to be able to improve or maintain healthy lifestyles.	n/a	n/a	
7.3 Social and community influences on health <ul style="list-style-type: none"> • Adverse childhood experiences • Citizen power and influence 	The policy and procedure will have no direct impact upon	n/a	n/a	

<ul style="list-style-type: none"> • Community cohesion, identity, local pride • Community resilience • Domestic violence • Family relationships • Language, cultural and spirituality • Neighbourliness • Social exclusion i.e. homelessness • Parenting and infant attachment • Peer pressure • Racism • Sense of belonging • Social isolation/loneliness • Social capital/support/networks • Third sector & volunteering 	<p>people in terms of the social and community influences upon their health.</p>			
<p>7.4 Mental Wellbeing</p> <ul style="list-style-type: none"> • Does this proposal support sense of control? • Does it enable participation in community and economic life? • Does it impact on emotional wellbeing and resilience? 	<p>The policy and procedure will have no direct impact upon people in terms of mental wellbeing</p>	<p>n/a</p>	<p>n/a</p>	
<p>7.5 Living/ environmental conditions affecting health</p> <ul style="list-style-type: none"> • Air quality • Attractiveness/access/availability/quality of area, green and blue space, natural space. • Health & safety, community, individual, public/private space • Housing, quality/tenure/indoor environment • Light/noise/odours, pollution • Quality & safety of play areas (formal/informal) 	<p>The policy and procedure will have no direct impact upon people in terms of their use of the physical environment.</p>	<p>n/a</p>	<p>n/a</p>	

<ul style="list-style-type: none"> • Road safety • Urban/rural built & natural environment • Waste and recycling • Water quality 				
<p>7.6 Economic conditions affecting health</p> <ul style="list-style-type: none"> • Unemployment • Income, poverty (incl. food and fuel) • Economic inactivity • Personal and household debt • Type of employment i.e. permanent/temp, full/part time • Workplace conditions i.e. environment culture, H&S 	<p>The policy and procedure will have no direct impact upon people in terms of their income and employment status.</p>	n/a	n/a	
<p>7.7 Access and quality of services</p> <ul style="list-style-type: none"> • Careers advice • Education and training • Information technology, internet access, digital services • Leisure services • Medical and health services • Other caring services i.e. social care; Third Sector, youth services, child care • Public amenities i.e. village halls, libraries, community hub • Shops and commercial services • Transport including parking, public transport, active travel 	<p>The policy and procedure will provide the basis and safeguards around conducting robust research and thereby promote the generation of new research evidence for the wider benefit of the population of Wales across all demographics</p>	n/a	n/a	
<p>7.8 Macro-economic, environmental and sustainability factors</p>	<p>The policy and procedure will have no direct</p>	n/a	n/a	

<ul style="list-style-type: none"> • Biodiversity • Climate change/carbon reduction/flooding/heatwave • Cost of living i.e. food, rent, transport and house prices • Economic development including trade • Government policies i.e. Sustainable Development principle (integration; collaboration; involvement; long term thinking; and prevention) • Gross Domestic Product • Regeneration 	<p>impact upon people in terms of macro-economic, environmental and/or sustainability factors.</p>			
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Stage 3

Summary of key findings and actions Please answer question 8.1 following the completion of the EHIA and complete the action plan

Key findings: Impacts/gaps/opportunities	Actions (what is needed and who needs to do) to address the identified mitigation and recommendations	Lead		
<p>No actions have been identified or considered necessary for mitigation or improvement activities</p>	<p>It is recommended that the review of the policy and procedure receive final organisational approval. As there are no foreseeable negative impacts, no further actions are necessary.</p>			

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Alternatively, if appropriate, please explain the steps taken to consult with and consider the differential impact of the changes on the various protected characteristic groups (part 2) or any specific identified population groups (part 3).