

Draft 1

Equality Impact Assessments and how to do them



DERBY CITY COUNCIL



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Thank you...

We would like to thank the Greater London Authority Equalities Team for allowing us to use the information from their own publication on Equality Impact Assessments.

1 What is an Equality Impact Assessment?

The purpose of an Equality Impact Assessment or EQIA is to improve our work by making sure we promote equality and create opportunities rather than putting barriers in people's way.

It is a way of making sure that we as individuals and as teams think carefully about the likely impact of our work on Derby people and take action to improve strategies, policies and projects, where appropriate.

The EQIA focuses on assessing and recording the likely equalities impact of a Council strategy, policy or project on certain groups of people known as equality target groups.

It involves thinking about the consequences of our policies and projects on these groups of people and making sure that, as far as we can, we remove or minimise any negative consequences. It also means we maximise any opportunities for promoting equality.

When we refer to 'strategy', we mean both our statutory strategies and also their reviews as well as non statutory strategies.

For 'policy', we mean a written document outlining an approved Council decision, principle, plan or set of procedures that influences and determines the way we do our business, both inside the Council and outside.

When we refer to 'project', we mean a temporary structure created to achieve a specified business benefit or objective, including functions and events being done by the Council either annually or regularly.

To do an EQIA, you need to complete a form. An example of the form is at the back of this booklet. The first section of the form is for a first screening of the policy or project and the second section is for a more detailed assessment.

2 What do we mean by an ‘impact’?

We look at two types of impact when we are doing an assessment and these are:

- **negative or adverse impact** – where the impact could disadvantage one equality target group, or even more than one. This disadvantage may be different for particular groups of individuals. The negative impact on one particular group of individuals or one equality target group may be greater than on another. Sometimes, however, negative impacts may be intended and an EQIA provides an opportunity to assess this.

An event held in a building without induction loop facilities would have a negative or adverse impact on some hearing impaired people who attend.

- **positive impact** – where the impact will have a positive effect on an equality target group, or more than one group or improve equal opportunities and relationships between groups. This positive impact may also be different for groups. The positive impact on one particular group of individuals or one equality target group is likely to be greater than on another.

For example, a training programme specifically for black and minority ethnic women would have a positive different impact on black and minority ethnic women, compared with its impact on white women and all men. It would not though necessarily have an adverse impact, on white women or men.

Improvements to waiting times for buses at night could have a positive different impact on women because of what we know about women’s concerns for personal safety at night.

The purpose of our Celebrating Cultural Diversity events is to improve race relations in Derby. Its intended impact is to improve equal opportunities.

3 What are the equality target groups?

Our Equality and Diversity Policy describes equality groups as women, minority ethnic communities, disabled people, lesbians, gay men and people who are bi-sexual, trans people, older and younger people and different faith groups.

The equality areas or strands, as they are called, are gender, disability, race, age, faith and sexuality. These strands are inclusive of all people.

4 When to do an EQIA

These projects and policies need an EQIA...

- All strategies and all best value reviews
- Policies and projects that each Chief Officer has identified as requiring an EQIA as part of the business planning process each year. These should be policies and projects that:
 - are relevant to the Council's duty to promote race equality
 - **and** are primary high level functions, rather than support functions or minor projects
 - **and** are in the initial planning stage or are being revised.

All projects with a budget of over £100,000 must go through an EQIA and most of these projects will fall into the categories mentioned.

Although only the projects and policies that meet this criteria **must** have an EQIA, employees leading on **any** project, including those with budgets lower than £100,000, should seriously consider carrying out an EQIA at the planning stage.

All project leaders are responsible for incorporating equalities into their projects or strategies and for assessing the equalities impacts. This should be a continuous process, starting at the very beginning of the project. Any project or policy team can use the EQIA to help them assess the potential impact of their project, even if the responsible Chief Officer has not specifically indicated that it requires an EQIA.

If you are not sure whether a project or policy requires initial screening, discuss it with your manager or with the Equality Standard Project Manager. The Council's Equality and Diversity Steering Group has agreed a list of all strategies, policies and projects, requiring an EQIA in the current financial year. This is on Derbynet. The EQIA is done in two parts. In section one, the project goes through a screening process. In section two, it goes through a more thorough and detailed assessment. This second section is further divided into two parts.

5 Equality Impact Assessment

Section one – screening

You need to do section one of the EQIA –the screening at the planning and development stage of the project, strategy or policy.

Some large projects will consist of lots of different activities; some of which are in themselves projects. As part of the screening, you must list these activities and, if any of them are projects in themselves, the project lead should consider whether they need to have a separate EQIA screening.

Once you have completed section one, the project is only required to go through the second stage of the EQIA if:

- any equality target group or a section of people from an equality target group, such as minority ethnic women or disabled women, would be negatively affected
- **and** that impact is assessed as high level. See the flow chart on page 8.

It may be useful for the project to go through the second stage even if you have only identified a positive impact or if the impact is of low level. This would mean that a thorough assessment would be done. You must keep the completed screening form on file as it may be needed for audit purposes.

6 Equality Impact Assessment

Section two – detailed assessment

Section two of the EQIA is used to examine projects where the initial screening indicated that there may be a negative impact on certain equality target groups. Projects, strategies and policies go through this second stage if there is a danger that the negative impact they have on these groups falls into one or more of these categories...

- It is assessed as high impact.
- It is not intentional.
- It is unlawful or possibly unlawful, such as being discriminatory according to anti-discrimination legislation.

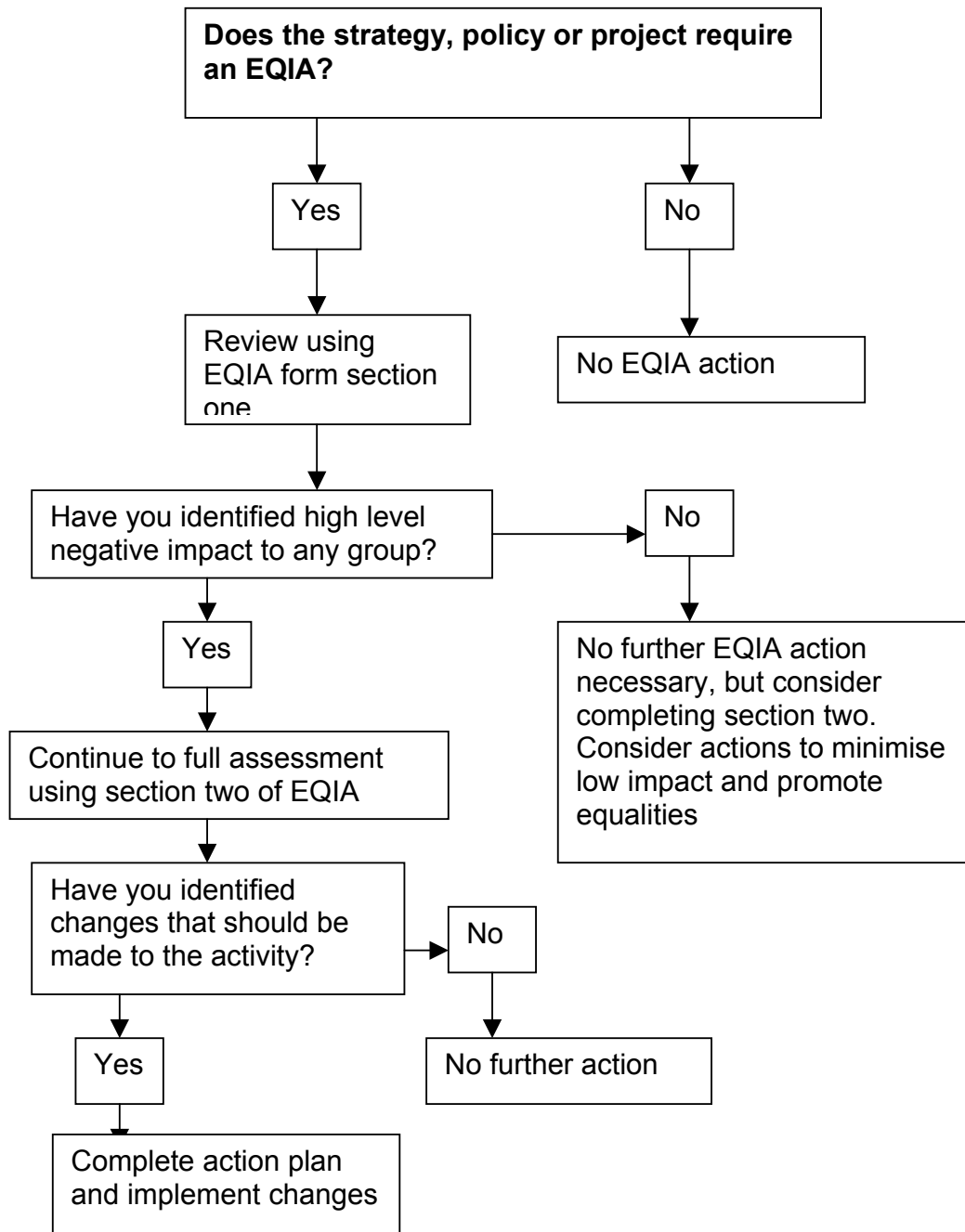
For such projects, you must do a detailed assessment, using section two of the EQIA. Section two is in two parts...

Part a provides an opportunity to assess, in some detail, the evidence for a possible negative impact. It makes sure policy, strategy and project teams have researched and consulted with the equality target groups that may be affected.

Part b completes the assessment and leads to an action plan that will aim to minimise any negative impacts and maximise positive impacts.

You must keep copies of all full EQIA on file, and send a copy to the Equality Standard Project Manager. The public can ask to examine completed EQIA forms.

7 Equality Impact Assessment flow chart



8 Tips and guidelines

Here are some tips to help you through the EQIA process...

- Equality Impact Assessments are designed to be a challenging process, but they are not intended to be over complicated or about 'getting it right'. All you need to do it to take a common sense approach to them.
- Project leads need to be prepared for changes to the project, strategy or policy that the EQIA identifies as necessary. It should not be a last minute check.
- The aim should be to try to take the perspective of someone outside the Council, such as a service user or perhaps a group getting a grant from us, or even someone buying a service, when we are doing the EQIA.
- The form does not need to be completed by one individual in isolation. Neither does the EQIA form need completing all in one go. In fact, part b of section two may need to be completed some months after the rest of the EQIA.
- Completing the form is just like doing a risk assessment. It involves predicting and assessing what the implications of a policy, strategy or project will be on a wide range of people with different and varied needs. This can be difficult and it is not intended that project leads complete the form without the support and advice from others in the project team, managers and even members of the Equality Standards Task Group. Completing the form with a colleague can provide a different perspective and this will help.
- Don't spend too long on the initial screening. At the screening stage, we are looking for obvious negative or positive impacts or, importantly, gaps in what we don't know about the likely impact.

- The screening should make full use of:
 - project leads and teams' professional knowledge of the issue and even personal experience
 - previous consultation results
 - analysis of previous complaints, compliments, comments, evaluations and monitoring
 - research and reports
 - library searches
 - internet searches
 - advice from internal and external specialists, including equality groups in the community
 - employees with previous involvement of direct implementation of a similar project or policy
 - employees and employee networks with a particular knowledge on equality issues.
- It is particularly important that project leads realise they have a legal duty to assess the impact of the strategy, policy or project on minority ethnic communities and to consider the promotion of race equality. There is soon to be legislation to promote disability equality and later on gender equality too
- You may find it difficult to answer question 4 in section one of the EQIA form in areas where there is little or no information. In these cases, just note the lack of information and move on to the next part of the form. Not having the information should not be a reason to stop the process or not complete the form.
- If you don't know the likely impact on the different equality groups, then the project lead or project team needs to take action to get this information.
- The best way to find out if a policy or project is likely to impact negatively or positively on equality target groups is to find out if research or information already exists. Or you could consult representatives of these groups or relevant specialist organisations. The Community and Consultation Unit in the Policy Directorate will be able to help you with this.

- For a large or significant project, project leads may wish to allow for the cost of assessing the project in the budget. For example, it may be appropriate to pay for a consultant or expert from a voluntary or community organisation to do the EQIA for you or to support the process.
- When you have completed the EQIA, the project lead should outline any changes required to the policy or project and other actions required. One action could be that the Council needs to get some specific information and so to commission some research or do a monitoring exercise.

9 Partnership projects

We want to be an exemplary organisation in relation to equalities and we feel it is important to champion equal opportunities inside the Council, but also in agencies that we work with in Derby. The statutory requirements to assess the impact of policies and functions on race equality apply to partnerships and contractual relationships.

These EQIA procedures apply to all projects and policies where the Council is the lead agency in a multi-agency project or a Council group project. The Council is the lead agency if we initiated the project or policy and the monitoring, evaluation and strategic overview of the implementation lies with us. This applies even if the Council is not the operational lead.

On joint projects and initiatives where we are not the lead organisation, we should still raise the issue of the need to do an equalities assessment to comply with the requirements of the Race Relations Amendment Act. In fact, we should do an EQIA screening before deciding to take part in the project anyway.

Equality Impact Assessment form

A copy of this form is available on Derbynet at ????????

Section one – screening

Name of strategy, policy or project

Name of Officer completing this assessment

Telephone/minicom

1 What is the main purpose of the strategy/project /policy?

- 2 List the main activities of the project/policy. For a strategy, list the main policy areas

- 3 Who will be the main beneficiaries of the strategy/project/policy?

- 4 Use the table on the next page to tick:

- where you think that the strategy/project/policy could have a negative impact on any of the equality target groups, in other words, it could disadvantage them
- where you think that the strategy/project/policy could have a positive impact on any of the groups or contribute to promoting equality, equal opportunities or improving relations within equality target groups.

<i>Equality target groups</i>	<i>Positive impact – it could benefit</i>	<i>Negative impact – it could disadvantage</i>	<i>Reason</i>
Women			
Men			
Asian or Asian British people			
Black or Black British people			
Chinese people and other ethnic groups of people			
People of dual heritage			
White people, including Irish people			
Disabled people			
Lesbians, gay men, bisexual people			
Trans people			
Older people 60+			
Younger people 17-25 and children			
Faith groups			
Equal opportunities and improved relations			

Faith groups cover a wide range of groups, the most common of which are Muslims, Buddhists, Jews, Christians, Sikhs, Hindus. Consider faith groups individually and collectively when considering positive and negative impacts.

The categories used in the Race section are those used in the 2001 census. You need to consider the needs of specific communities within the broad categories such as Bangladeshi people, Cameroonian, Iraqi Kurdish, Ukrainian, Polish and Bosnian people that do not appear as separate categories in the census.

5 If you have indicated there is a negative impact on any groups, is that impact:

Legal? Yes ☐ No ☐

This means is it discriminatory under anti-discrimination legislation?

Intended? Yes ☐ No ☐

Level of impact High ☐ Low ☐

If the negative impact is possibly discriminatory and not intended and/or of high impact, you must complete section two of this form. If not, continue completing the rest of this section and consider if completing section two would be helpful in making a thorough assessment.

6.1 Could you minimise or remove any negative impact that is of low significance?
Explain how...

6.2 Could you improve the strategy, project or policy's positive impact?
Explain how...

You may want to use the action sheet at the end of section two.

- 7 If there is no evidence that the strategy, policy or project promotes equality, equal opportunities or improved relations – could it be adapted so that it does?
Explain how...

Please sign and date this form, keep one copy and send one copy to Ann Webster, Equality Standard Project Manager, Personnel Policy and Industrial Relations Unit, Room 161, The Council House, Corporation Street, Derby.DE1 2FS

Signed_____

Date_____

Section two – full assessment

Name of strategy, project or policy

Date _____

Part a

- 1 Looking back at section one of the EQIA, which areas are there concerns that the strategy, policy or project, could have a negative impact?

Gender

☐

Race

☐

Disability

☐

Sexuality/transgender

☐

Age

☐

Faith

☐

- 2 Summarise the likely negative impacts

- 3 What previous or planned consultation on this topic/policy area/project has taken place/will take place with groups/individuals from equality target groups? If there has already been consultation, what does it indicate about negative impact of this strategy, project or policy?

<i>Equality target groups</i>	<i>Summary of consultation already done or planned</i>
Women	
Black and minority ethnic communities	
Disabled people	
Lesbians, gay men, bisexual people and trans people	
Older people	
Young people/children	
Faith groups	

- 4 What consultation has taken place/or is planned with Council employees or employees' groups, including employees who will have direct experience of implementing the strategy or policy or who are working on the project?

- 5 Check that research/studies/reports concerning the equality target groups and the likely impact, have been used to plan the project and guide it **or** indicate what research you intend to do.

<i>Equality target groups</i>	<i>Title/type/details of report or research</i>
Women	
Black and minority ethnic communities	
Disabled people	
Lesbians, gay men, bisexual people and trans people	
Older people	
Young people/children	
Faith groups	

- 6 If there are gaps in your previous or planned consultation and research, are there any experts or relevant groups that you can contact to get further views or evidence of the issues?

Yes ☐ Please list them and explain how you will get their views

No ☐

Part b

Complete this section when consultation and research has been done

- 7.1 As a result of this assessment and available evidence collected, including consultation, state whether there will need to be any changes made or planned to the policy, strategy or project.
- 7.2 As a result of this assessment and available evidence, is it important that the Council commission specific research on this issue or do monitoring or data collection?

You may want to put this information directly on to the action sheet at the end of this form.

- 8 Will the changes planned make sure that negative impact is:

legal? - not discriminatory, under anti-discriminatory legislation ☐

intended? ☐

Low impact? ☐

- 9.1 Have you set up a monitoring/evaluation/review process to check the successful implementation of the strategy,, project or policy?

Yes ☐

No ☐

9.2 How will this monitoring/evaluation further assess the impact on the equality target groups and make sure the strategy, project or policy is non-discriminatory?

Details

Please complete the action form on the next page, sign the EQIA, keep a copy yourself and send a copy of the full EQIA, including the action plan to Ann Webster, Equality Standard Project Manager, Personnel Policy and Industrial Relations Unit, Room 161, The Council House, Corporation Street, Derby.DE1 2FS

Signed _____
Completing Officer

Date _____

Equality Impact Assessment action plan

Please list any recommendations for action that you plan to take because of this impact assessment

Issue	Action required	Lead officer	Timescale	Resource implications	Comments

Issue	Action required	Lead officer	Timescale	Resource implications	Comments