# INTEGRATED IMPACT ASSESSMENT Guidance

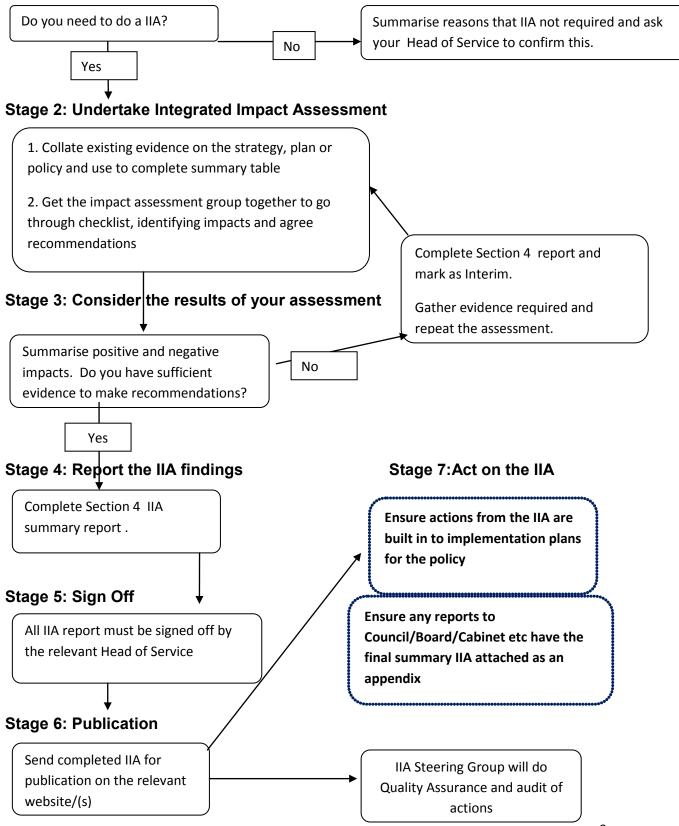
A guide to doing Integrated Impact Assessment (IIA) for Councils, Health & Social Care Partnerships and Health services in the Lothians

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# **Integrated Impact Assessment - Flowchart**

#### Stage 1: Identify if an Integrated Impact Assessment is needed



# Section 1 What is Integrated Impact Assessment

#### 1.1 Introduction

Chief Executives, Elected Members, Directors, Heads of Service, managers and staff should recognise that the decisions they make every day profoundly influence the health and wellbeing of our diverse community in Lothian.

Integrated Impact Assessment (IIA) aims to enable the partners to meet the legal duties to consider equality, human rights, sustainability and the environment in planning decisions. It also creates an opportunity to identify and tackle unanticipated impacts on wider causes of poor outcomes in our communities, such as inadequate housing, low educational achievement, low income, transport and pollution, poverty, stigma and social inequality.

This guidance to completing the Integrated Impact Assessment has been developed in collaboration between the four local Lothian authorities and NHS Lothian. It takes you through the process of undertaking an IIA. The supporting information document contains additional information on the policy and legal context, recent case law, how to test for relevance, population groups and social and environmental issues and examples of positive and negative impacts.

#### 1.2 Why is Integrated Impact Assessment required?

Assessing impact is an important part of the public sector's decision making process. It is important in developing any proposal to understand how the needs of different groups in the population may differ. IIA is a mechanism which enables you to consider the needs of different groups. It enables us to:

- Develop better policies and practices, based on evidence
- Prevent or mitigate negative impacts on determinants of social and health inequality
- Take joint action on key social policy areas including equality and human rights, poverty and the economy
- Meet legal requirements in relation to equality, climate change, sustainability, the environment and the need to promote human rights, including the rights of children and young people Consider the potential to advance/hinder the wellbeing of children and young people
- Be more transparent and accountable.

We have a legal requirement to assess our proposals for equality impact to ensure that we do not unlawfully discriminate. As partners we have agreed that all new policies, plans or strategies should have an integrated impact assessment which can be used by all partners in Lothian thus reducing duplication of effort and enhancing the assessment process through joint working. In addition, we are committed to **3 core objectives in relation to equality and rights**:

- To plan services and policies which promote equality of opportunity; eliminate discrimination and harassment; and promote good relations between those with protected characteristics and those with none
- To address broader inequalities. This means we want to ensure that policies meet the needs of all people including children and young people, especially those from population groups that are known to have poorer outcomes
- To identify and address wider impacts on poverty, health and health inequalities in our policies, plans and strategies. For example employment, education, transport, the built environment, purchasing policies, public safety, waste disposal all have wider impacts on people's health, wellbeing and life experience.

We are also committed to 3 core objectives in relation to climate change:

- Reducing greenhouse gas emissions.
- Adapting to the impacts of a changing climate
- Acting sustainably

Once the IIA has been completed, the proposal revised to mitigate any negative impacts which were identified, the IIA has been signed and made available to the public on the internet you will have met your legal requirements to:

- Undertake an Impact Assessment on equality, human rights including the rights of children and young people, the environment and climate change
- Consider sustainability as part of the decision making process
- Identify whether a Strategic Environmental Assessment (SEA) is required
- Ensure that public services and economic decisions promote human dignity for all<sup>1</sup>
- Identify and mitigate against some of the socio-economic factors that have the largest impact on the health and well-being of the local community.

<sup>&</sup>lt;sup>1</sup> A human rights based approach emphasises participation, accountability, non-discrimination, empowerment and legality. This has several benefits: upholding the rights of everyone, supporting person-centred services, helping good decision making, improving institutional culture and relationships, ensuring legal compliance and promoting best practice. For children and young people's rights include participation, provision and protection.

#### 1.3 Completing an Integrated Impact Assessment (IIA)

Guidance on the process is given in Section 2. In summary, it involves the following:

- 1. **Gather relevant data and evidence** about the needs and experiences of people with protected characteristics and those vulnerable to experiencing poverty and ill health in the context of the work you are undertaking.
- 2. As a group exercise, go through the IIA checklist at Section 3 to think critically about how your proposal will meet the needs of and impact on different groups of people including those with protected characteristics<sup>2</sup> and impact on human rights, sustainability and the environment. Consider whether further evidence is needed before making recommendations. This group process should take no longer than two hours.
- 3. **Review and record** the results of your assessment and plan, take action and set review dates to address any issues identified. This helps towards meeting the specific duty in equalities legislation to mainstream equalities in all the work the public sector is involved in.
- 4. **Publish** the finalised IIA on your public internet site to comply with equalities legislation.

#### 1.4 Terminology

This guidance uses the term 'proposal' as shorthand for any activity that you undertake as part of the work you do. It should be understood broadly to embrace the full range of your plans, programmes, strategies, policies, criteria, functions, practices and activities, including the delivery of services.

<sup>&</sup>lt;sup>2</sup> Protected characteristics under the Equality Act include: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sexual orientation and sex.

# Section 2 Undertaking an Integrated Impact Assessment

#### 2.1 What should I impact assess?

The first stage is to consider whether a full assessment is required. If you answer yes to any question in the high relevance category, then an IIA is required. If you identify that an IIA is not required then you need to explain why/how you have reached this decision.

High Relevance	Yes/no	
The proposal has consequences for or affects people		
The proposal has potential to make a significant impact on equality		
even when this only affects a relatively small number of people		
The proposal has the potential to make a significant impact on the		
economy and the delivery of economic outcomes		
The proposal is likely to have a significant environmental impact		
Low Relevance		
The proposal has little relevance to equality		
The proposal has negligible impact on the economy		
The proposal has no/minimal impact on the environment		
If you have identified low relevance please give a brief statement of your reasoning and report this to your Head of Service. Please then attach this paragraph to the section in the relevant management or committee report where Impact on Equality is considered.		

**NB** You should always consider the **cumulative impact** on your services or service reviews. E.g. what is the impact if you make a number of changes across different proposal areas?

For further advice on checking relevance see Section 3 in the Supporting Information.

#### 2.2 When should I do an impact assessment?

Assessing the impact is not an end in itself but should be an integral part of proposal development and decision making. The regulations emphasise that it is the **impact** of applying a new or revised proposal that must be impact assessed.

This means that the assessment process must happen **before** a proposal is finalised, preferably early in its development but when the proposal is clear enough to be able to make a reasonable assessment. If the proposal then changes significantly the IIA may need to be repeated. The assessment cannot be retrospective, or undertaken only near the end of the process, but instead should be seen as integral to the development process and able to inform the consultation process.

For existing policies or strategies, impact assessment should be undertaken when they are being reviewed or amended. The IIA should be undertaken before any changes are agreed.

#### 2.3 Who is *responsible* for doing an Integrated Impact Assessment?

The people responsible for developing a new proposal, or delivering a service are responsible for undertaking the assessment. Recent legal cases highlight that the duty cannot be delegated – it must be considered by the person with the ultimate responsibility for the proposal or the service and for the decision to implement the proposal. Therefore the relevant Head of Service or NHS Project Lead needs to be aware that the IIA is being undertaken and **must sign off the final document**.

#### 2.4 Participation/Involvement and Evidence

Gather existing evidence on the policy, plan or strategy and how it may affect different groups. <u>Use Table 6 in Section 4</u> to summarise what it tells you. Circulate the completed table to all participants in the group exercise in advance of the IIA meeting so that it can inform the discussion and be reviewed.

During the meeting the group should consider whether further evidence is needed to understand impacts and inform recommendations. In this case you should identify how this evidence can be collected.

#### 2.5 How to do an Integrated Impact Assessment

Carrying out an IIA is a group exercise. The IIA group should include those involved in developing the policy, plan or strategy and bring together different perspectives on the topic being discussed. A sound understanding of what is proposed is essential to allow the IIA to be completed successfully. At least one member of the group should have undertaken training on how to undertake an Integrated Impact Assessment. Ideally the group should include:

- the person who wrote the plan, proposal or strategy
- the person who has strategic responsibility for it
- a person who will implement it
- a person with an operational or front line perspective

plus

- it is good practice to invite an employee representative and/or HR colleague particularly where the proposal will have an impact on service delivery or will impact on staffing arrangements or other workforce issues
- unless in exceptional circumstances the group should consist of at least four people to bring a broad perspective, and include people with protected characteristics where there are gaps in evidence

#### 2.6 Identifying impacts

The group should get together to go through the checklist systematically. The checklist is given in <u>Section 3</u> of this document. It is intended to help you to critically consider the possible impacts on different groups in the community. Your comments should focus on how the policy may impact on different groups in different ways – this is called 'differential impacts' in the checklist.

The checklist asks you to critically consider the impact of the policy on equality, human rights, social, environmental and economic objectives.

**IIA is not** a way of gathering new evidence or a part of the consultation process. These are separate activities which may help to inform the impact assessment as well as the development of the proposal.

**NB** A service provided to all people will not necessarily address inequality. It is important to remember that some people will fall into multiple groups e.g. many people will have more than one protected characteristic e.g. age, disability, ethnicity and sex. Some other groups will share the same concerns or barriers to services or participation.

The checklist includes factors that influence people's health, wellbeing and human rights. Health and wellbeing are not only affected by people's individual lifestyles but also by their families, social circumstances and the environment in which they live and work and the amount of control they have over decision making.

The check list is not exhaustive. If you can identify other populations who will be impacted or other kinds of impact, they should be considered here also.

Think about:

- Who is likely to be directly affected by the proposal?
- Who is likely to be indirectly affected by the proposal?
- Is it likely that some people might be excluded from the proposal?
- Are there any unintended consequences for children and young people in a proposal designed for adults?
- How will you communicate with people about what is being proposed?

The Supporting Information document contains information on the legal context and some issues to consider relating to the population groups and issues in the checklist.

#### 2.6.1 Positive Impact

An impact that could improve or support work towards the objectives listed. The positive impact may be different for people with one or more protected characteristic. This is permissible but you must always be able to demonstrate that positive impacts are justifiable in law and do not amount to discrimination, direct or indirect. You can also identify how the work will contribute to advancing equality.

For example: A targeted health improvement campaign for young men between the ages 16 to 24 would have a positive impact on this age group, compared with its impact on other age groups. It would not however have a negative impact on other age groups or women, so long as there is evidence that young men in that age group are disadvantaged (an example of positive action to address a current inequality).

#### 2.6.2 Negative Impact

An impact that does not support or hinders the achievement against the objectives identified.

For example: Holding a public meeting as part of a consultation exercise in a building that is not accessible and does not contain an induction loop system will have a negative impact on attendees with poor mobility and those who use hearing aids.

#### 2.7 Services delivered on behalf of the Public Bodies

Public bodies cannot abdicate or delegate their responsibility for meeting the public sector equality duty by 'contracting out' functions. Where a partner's functions will be carried out by an external supplier, both the partner and the contractor have joint responsibility for meeting the duty. If an external organisation is carrying out functions on behalf of the partnership, then you need to make sure that equality is given due regard <sup>3</sup>. As part of the impact assessment, identify if any part of the service will be delivered externally and if so, consider how equality and human rights have been considered as part of the procurement process.

#### 2.8 Summary of Impacts

Having considered the evidence and **critically considered** the potential impacts, the group should decide whether it needs further evidence to determine likely impacts or make recommendations. If further evidence is to be gathered this could be marked as an interim IIA and be finalised when this evidence has been gathered. If the evidence is considered to be sufficient the group should discuss and agree a summary of the positive and negative impacts identified and recommendations. This summary will be used to populate the summary report template at Section 4.

In times of financial constraint, public sector partners will have to make difficult and often unpopular decisions regarding funding and service provision. The Public Sector Equality Duties do not prevent the partners making these decisions. The impact assessment process aims to identify potential adverse impacts or missed opportunities to address any inequitable loss of service. In this instance the Equality and Human Rights Commission<sup>4</sup> will be looking for steps you have taken or considered to mitigate any adverse impacts. Some useful questions to consider:

- What actions are required to improve the proposal as a result of the IIA?
- How will the proposal be monitored after full implementation and how will you ensure that the recommendations made in the IIA are effective?
- Have you planned reviews of the proposal? If so, how often and who will be responsible?

<sup>&</sup>lt;sup>3</sup> Those organisations subject to the Public Sector Equality Duty must have due regard to its three general duties in all aspects of carrying out business decisions and day-to-day activities i.e. : eliminate discrimination, advance equality of opportunity and foster good relations.

<sup>&</sup>lt;sup>4</sup> The Equality and Human Rights Commission Scotland has a mandate from the Government to challenge discrimination, and to protect and promote human rights. It has responsibilities to hold the public sector to account on its actions to meet its general and specific duties under equalities legislation

If the proposal shows **actual or potential unlawful discrimination** you will only be able to meet your legal obligations under the duties by stopping, removing or changing the policy.

#### 2.9 Communicating Information

The checklist asks you to consider communication issues relating to the proposal. This may include consultation and engagement about the proposal and/or about the service once it is in place. Consider ways to ensure this is inclusive for all members of the community including children and young people, people with sensory impairment, people with low literacy and for whom English is not their first language.

#### 2.10 Action Plan

Following the group exercise, the person responsible for the proposal should use the recommendations to prepare a detailed action plan and build these into the implementation of the proposal.

#### 2.11 Follow up

Integrated Impact Assessment should inform future monitoring of the policy. The true impact of a proposal may only become clear once it is implemented or operating in practice. Existing and normal monitoring practices may need to be adapted to include the monitoring of impacts on people with protected characteristics, other vulnerable groups, human rights and meeting the general equality duties, the environment, and sustainability.

#### 2.12 Sign Off, Paperwork and Publication

The IIA report template at <u>Section 4</u>, should be used when reporting impact assessments. Please complete the form electronically. Please note that all IIAs are required to be published on the relevant organisation's external internet site by each of the partners and therefore authors must ensure that the information is presented clearly and in plain language that can be easily understood by the general public.

The relevant Head of Service or Project Lead needs to be aware that the IIA is being undertaken and **must sign off the final document**.

Once completed, the impact assessment report should be sent to the relevant contact(s) in <u>Section 5</u> of this document.

#### 2.13 Quality Assurance

A sample of IIAs will be checked by an IIA quality assurance group which includes colleagues working on equality, sustainability, health inequality and tackling poverty to ensure that IIAs are completed to a suitable and consistent standard. The QA team will use the following criteria to check the IIA reports.

Criteria: for use by IIA QA group	Tick
Overall, the IIA is understandable and set in context	
The need for an IIA was identified appropriately	
There is evidence that all relevant populations were considered	
There is evidence that all parts of the IIA were completed appropriately	
There are no obvious impacts that were not identified	
There is an action plan to implement any recommendations arising from the IIA and it specifies how these will be monitored	
The appropriate person has signed off the IIA	
Any relevant reports to committee contain the appropriate reference to IIA	
Any further considerations	

Feedback will be given to the lead person for the IIA report. This may include the need for minor adjustments, follow up action or other recommendations.

## Section 3 Integrated Impact Assessment Checklist

**This checklist does not form part of the IIA report** but is intended to inform the group discussion. The boxes may help you to write your ideas down before discussion within the group. For further support see the IIA guidance and supporting information.

- 1. Before going through the checklist, consider:
  - What do you think will change as a result of this proposal?
- 2. Now consider impacts on different populations.
  - Which groups will be affected?
  - Go through the checklist below to identify how different people could be affected differentially, and possible areas of impact.

Population Groups	Differential impacts (how may each group be affected in different ways?)
People with protected characteristics	
<ul> <li>Older people and people in their middle years</li> </ul>	
<ul> <li>Young people and children</li> </ul>	
<ul> <li>Men (including trans men), Women (including trans women) and Non-binary people (Include issues relating to pregnancy and maternity including same sex parents)</li> </ul>	
<ul> <li>Disabled people (includes physical disability, learning disability, sensory impairment, long-term medical conditions, mental health problems)</li> </ul>	
<ul> <li>Minority ethnic people (includes Gypsy/Travellers, migrant workers, non-English speakers)</li> </ul>	
<ul> <li>Refugees and asylum seekers</li> </ul>	
<ul> <li>People with different religions or beliefs (includes people with no religion or belief)</li> </ul>	
<ul> <li>Lesbian, gay, bisexual and heterosexual people</li> </ul>	
<ul> <li>People who are unmarried, married or in a civil partnership</li> </ul>	

Population Groups	Differential impacts (how may each group be affected in different ways?)
<ul><li>Those vulnerable to falling into poverty:</li><li>Unemployed</li></ul>	
People on benefits	
Single parents	
<ul> <li>Vulnerable families eg young mothers, people experiencing domestic abuse, children at risk of statutory measures</li> <li>Pensioners</li> </ul>	
<ul> <li>Looked after children and young people</li> </ul>	
<ul> <li>Those leaving care settings (including children and young people and those with illness)</li> </ul>	
Homeless people	
<ul> <li>Carers (including young carers and carers with protected characteristics)</li> </ul>	
<ul> <li>Those involved in the criminal justice system</li> </ul>	
Those living in the most deprived communities	
People with low literacy/numeracy	
People misusing substances	
Others e.g. veterans and students	
Geographical communities	
<ul> <li>Rural/ semi rural communities</li> <li>Urban communities</li> </ul>	
<ul> <li>Orban communities</li> <li>Coastal communities</li> </ul>	
<ul> <li>Business community</li> </ul>	
Staff	
Full-time	
Part-time	
Shift workers	

Population Groups	Differential impacts (how may each group be affected in different ways?)
Staff with protected characteristics	

Staff vulnerable to falling into poverty
Consider how your proposal will impact on each of the following from both an equalities and human rights perspective.

Objectives	Positive/negative impacts
Equality and Human Rights	
Eliminate discrimination and harassment	
Advance equality of opportunity e.g. improve access / quality of services	
Foster good relations within and between people with protected characteristics	
Enable people to have more control of their social/work environment	
Reduce differences in status between different groups of people	
Promote participation, inclusion, dignity and control over decisions	
Build family support networks, resilience and community capacity	
Reduce crime and fear of crime including hate crime	
Protect vulnerable children and adults	
Promote healthier lifestyles including:	
diet and nutrition,	

Objectives	Positive/negative impacts
<ul> <li>sexual health,</li> <li>substance misuse</li> <li>physical activity</li> <li>lifeskills</li> </ul>	
Environmental	I
Reduce greenhouse gas (GHG) emissions (including carbon management) Plan for future climate	
change	
Pollution: air/ water/ soil/ noise	
Protect coastal and inland waters	
Enhance biodiversity	
Encourage resource efficiency (energy, water, materials and minerals)	
<ul> <li>Public Safety eg:</li> <li>minimise waste generation</li> <li>infection control</li> <li>accidental injury</li> <li>fire risk</li> </ul>	
Reduce need to travel and promote sustainable forms of transport	
Improve the physical environment e.g. housing quality public space access to and quality of green space	

Objectives	Positive/negative impacts
Economic	
Maximise income and /or	
reduce income inequality	
Help young people into	
positive destinations	
Support local business	
Help people to access jobs	
(both paid and unpaid)	
Improve literacy and	
numeracy	
Improve working conditions,	
including equal pay	
Improve local employment	
opportunities	
Improve quality of and	
access to services	

#### 4. As a group agree:

- A summary of the impacts identified
- Is further evidence needed to understand these impacts and make any recommendations? If so complete an interim report and agree a timescale to complete a final report.
- What recommendations should you make to mitigate negative impacts and enhance positive impacts?

This checklist has now been completed and the findings provide the basis for the summary report (Section 4).

## Section 4 Integrated Impact Assessment

# Summary Report Template

Each of the numbered sections below must be completed

Interim report	Final report		(Tick as appropriate)
		1	

- 1. Title of plan, policy or strategy being assessed
- 2. What will change as a result of this proposal?
- 3. Briefly describe public involvement in this proposal to date and planned
- 4. Date of IIA
- 5. Who was present at the IIA? Identify facilitator, Lead Officer, report writer and any partnership representative present and main stakeholder (e.g. NHS, Council)

Name	Job Title	Date of IIA training	Email

#### 6. Evidence available at the time of the IIA

Evidence	Available?	Comments: what does the evidence tell you?
Data on populations in need		
Data on service uptake/access		
Data on equality outcomes		
Research/literature evidence		
Public/patient/client experience information		
Evidence of inclusive engagement of service users and involvement findings		
Evidence of unmet need		
Good practice guidelines		
Environmental data		
Risk from cumulative impacts		
Other (please specify)		
Additional evidence required		

7. In summary, what impacts were identified and which groups will they affect?

Equality, Health and Wellbeing and Human Rights	Affected populations		
Positive			
Negative			
Negative			

Environment and Sustainability	Affected populations
Positive	
Negative	

Economic	Affected populations
Positive	
Negative	
Regative	

- 8. Is any part of this policy/ service to be carried out wholly or partly by contractors and how will equality, human rights including children's rights, environmental and sustainability issues be addressed?
- 9. Consider how you will communicate information about this policy/ service change to children and young people and those affected by sensory impairment, speech impairment, low level literacy or numeracy, learning difficulties or English as a second language? Please provide a summary of the communications plan.
- 10. Does the policy concern agriculture, forestry, fisheries, energy, industry, transport, waste management, water management, telecommunications, tourism, town and country planning or land use? If yes, an SEA should be completed, and the impacts identified in the IIA should be included in this.
- 11. Additional Information and Evidence Required

If further evidence is required, please note how it will be gathered. If appropriate, mark this report as interim and submit updated final report once further evidence has been gathered.

12. Recommendations (these should be drawn from 6 – 11 above)

13. Specific to this IIA only, what actions have been, or will be, undertaken and by when? Please complete:

Specific actions (as a result of the IIA which may include financial implications, mitigating actions and risks of cumulative impacts)	Who will take them forward (name and contact details)	Deadline for progressing	Review date

- 14. How will you monitor how this policy, plan or strategy affects different groups, including people with protected characteristics?
- 15. Sign off by Head of Service/ Project Lead

Name

Date

#### 16. Publication

Send completed IIA for publication on the relevant website for your organisation. <u>See Section 5</u> for contacts.

# Section 5 Contacts

#### • East Lothian Council

Please send a completed copy of the IIA to <u>equalities@eastlothian.gov.uk</u> and it will be published on the Council website shortly afterwards. Copies of previous assessments are available via

http://www.eastlothian.gov.uk/info/751/equality\_diversity\_and\_citizenship/835/equality\_ y\_and\_diversity

#### • Midlothian Council

Please send a completed copy of the IIA to <u>zoe.graham@midlothian.gov.uk</u> and it will be published on the Council website shortly afterwards. Copies of previous assessments are available via

http://www.midlothian.gov.uk/downloads/751/equality\_and\_diversity

#### NHS Lothian

Completed IIAs should be forwarded to <u>impactassessments@nhslothian.scot.nhs.uk</u> to be published on the NHS Lothian website and available for auditing purposes. Copies of previous impact assessments are available on the NHS Lothian website under Equality and Diversity.

#### • The City of Edinburgh Council

Completed impact assessments should be forwarded to <u>Strategyandbusinessplanning@edinburgh.gov.uk</u> to be published on the Council website.

#### • City of Edinburgh Health and Social Care

Completed and signed IIAs should be sent to Sarah Bryson at <u>sarah.bryson@edinburgh.gov.uk</u>

#### • Edinburgh Integration Joint Board

Completed and signed IIAs should be sent to Sarah Bryson at <u>sarah.bryson@edinburgh.gov.uk</u>

#### • West Lothian Council

Complete impact assessments should be forwarded to the Equalities Officer.