

Impact Assessment Toolkit Form

Update as at 30 April 2013

Content

SECTION 1 General Information

SECTION 2 Aims of the function or policy

SECTION 3 Evidence

SECTION 4 Impacts

SECTION 5 Monitoring and Reviewing

SECTION 6 Public Reporting of Results (information required for the Summary Sheet)

SECTION 7 Quality Control

Section 1 : General Information

		Guidance
1	Name of policy:	The word policy is used throughout this document for ease but it could also be a strategy, plan, project, budget option (saving or income generation).
2	Is this policy: <input type="checkbox"/> new <input type="checkbox"/> reviewed	
3	Lead Council Service(s) involved in the delivery of this policy:	
4	Who else is involved in the implementation of this policy:	eg other Council Departments or partner agencies
5	Lead person:	The lead person should be someone who has a good knowledge of the policy to be assessed and has been trained in the toolkit.
6	Names and organisations of those involved in the process :	The tool should be completed by no fewer than two people. It is good practice to involve stakeholders and in particular the relevant Equality Group(s) must be involved.
7	Date of Impact Assessment (IA):	
8	Do all participants understand the Guidance? <input type="checkbox"/> Yes	The lead person should check all attending have read and understood the purpose or process of IA

Section 2 : Aims of the policy

Guidance	
<p>9 What are the main aims of the policy? Please list</p>	<p>This should describe the policy and what you are trying to do. Think about:</p> <ul style="list-style-type: none"> Why is it needed? What outcomes do the authority hope to achieve by it? In particular will the policy contribute to Dumfries & Galloway Council's Priorities and Commitments?
<p>10 Will the policy assist in meeting the aims of legislation?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Give details</p> <p style="margin-left: 20px;">(a) Equality Act 2010 <input type="checkbox"/></p> <p style="margin-left: 40px;">(b) Human Rights Act <input type="checkbox"/></p> <p style="margin-left: 40px;">(c) Environment Act <input type="checkbox"/></p> <p style="margin-left: 40px;">(d) Climate Change Act <input type="checkbox"/></p>	<p>The purpose of impact assessment is to assess which individuals or groups will be most affected and how. Think also about how the policy will be delivered (eg through existing outlets?) and how it will be communicated to clients</p>

Section 3 : Evidence

	Guidance
<p>11 What evidence has or will be used to identify any potential positive or negative impacts?</p> <p>Insert details in the sections below (a) to (e):</p>	<p>Evidence could be based on a specific geographical area or a community of interest and could include consultations, surveys, focus groups, interviews, pilot projects, user feedback (inc. complaints made), officer knowledge and experience, equalities monitoring data, academic publications, consultants' reports, etc. Also identify where there are gaps in the evidence and set out how these will be filled</p>
<p>(a) Involvement in development/ review</p>	<p>Who has been involved in the development so far of your policy?</p>
<p>(b) Research</p>	<p>Have you conducted any research or what research are you using?</p>
<p>(c) Officer/Practitioner knowledge and experience</p>	<p>What expertise or individual information are the group using to inform their judgements?</p>
<p>(d) Monitoring data</p>	<p>What data is available locally or nationally to inform the group?</p>
<p>(e) Feedback</p>	<p>What feedback is available to inform the IA? eg both positive and negative users experiences of the policy – surveys, Members enquiries and comments etc</p>

Section 4: Impacts

This section covers the Protected Characteristics, Human Rights, health, climate change and sustainable development.

How to complete the table for each Characteristic:

First decide if your Policy has a Positive/Negative or No Impact. For Positive and Negative Impacts consider if it is High, Medium or Low. Indicate this within the table by using H = High, M = Medium, L = Low. Note you can have both Positive and Negative Impacts and where this occurs you should indicate both within the table. This information will be summarised in Section 25 at the end

Example

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct	H		L	
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 		✓		
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 			M	

12 AGE

This refers to children and adults of a particular age or age range.

Remember different age groups have different concerns eg

- violence is more likely to happen to you if you are a young man but the fear of crime can be debilitating if you are an older or lone woman.
- can all age groups access your service even on a dark winter night?
- children (people under 18) have a right to advice and information but this may need to be in a different format from the same information directed at adults.

Useful website: www.ageuk.org.uk

How does your policy affect this protected characteristic?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 				
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 				

13 DISABILITY

A person has a disability if they have a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

- How does this policy affect disabled people in Dumfries and Galloway?
- Is there any reason to believe that disabled people are being, or could be, adversely affected by this policy?
- Are there particular impairment groups who are particularly adversely affected by the policy?
- Could your policy adversely affect individuals as a result of something arising from their disability?

Useful websites: www.direct.gov.uk/disabledpeople www.equalityhumanrights.com www.dgvoice.co.uk

How does your policy affect this protected characteristic?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 				
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 				

14 **SEX**

This covers:

Biological sex - whether you are a man or a woman

- Does the function or policy take account of the different roles and responsibilities that men and women have?
- Does it assume, perhaps wrongly, that men for example, have no caring responsibilities?
- Is the function or policy flexible enough to provide a service that everyone can access?

Useful websites

<http://www.scottishwomensconvention.org/> <http://www.fawcettsociety.org.uk/> <http://www.engender.org.uk/>
www.equalityhumanrights.com

How does your policy affect this protected characteristic?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 				
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 				

15 GENDER REASSIGNMENT AND TRANSGENDER IDENTITY

This covers both:

- **Gender reassignment**, which is the process of transitioning from one gender to another. Individuals in this category are often termed transsexual. Gender reassignment does not need to involve any medical supervision or surgical procedures; it could simply involve a permanent change of the social gender role in which the person lives their life, (for example through a permanent change of name and the way they dress).
- **Other transgender identities** – such as polygender, androgyne, intersex, cross-dressing and transvestite people. The terms **transgender** and **trans** are both widely used by equality organisations to refer to a diverse range of people who find their gender identity does not fully correspond with the sex they were assigned at birth. Although the term transgender does refer in part to transsexual people (see above), not all transgender people will undergo the process of gender reassignment, but may face similar barriers to access.
- Does your policy, function or service include people of different gender identities?
- Will your facilities impede transgender individuals in any way?

Useful websites: www.equalityhumanrights.com , www.scottishtrans.org, www.equality-network.org/ , www.lgbtyouth.org.uk

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 				
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 				

16 MARRIAGE AND CIVIL PARTNERSHIP

Marriage is currently defined as a 'union between a man and a woman'. Same-sex couples can have their relationships legally recognised as 'civil partnerships'. Civil partners must be treated the same as married couples.

Useful websites

<http://www.gro-scotland.gov.uk/regscot/getting-married-in-scotland/index.html>

<http://www.gro-scotland.gov.uk/regscot/registering-a-civil-partnership-in-scotland.html>

How does your policy affect this protected characteristic?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 				
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 				

17 PREGNANCY AND MATERNITY

Pregnancy is the condition of being pregnant/ expecting a baby. Maternity refers to the period after the birth. Protection against maternity discrimination covers 26 weeks after giving birth, and this includes treating a woman unfavourably because she is breastfeeding.

Useful websites

<http://www.direct.gov.uk/en/Parents/Moneyandworkentitlements/WorkAndFamilies/Pregnancyandmaternityrights/index.htm>

<http://www.acas.org.uk/index.aspx?articleid=1753>

- How does your policy affect this protected characteristic?
- Do you provide facilities for breastfeeding mothers?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 				
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 				

18 RACE

This refers to a group of people defined by their ethnic or national origins, race, colour, and nationality (including citizenship). All minority race and ethnic groups are covered including, for example, gypsies and travellers, Jews, English as well as visible minority groups like African, Caribbean and Asian.

Consider the impact your function or policy has on someone from a minority ethnic group. Remember the impact may differ depending on the gender, disability, faith, sexual orientation or age of the person as different cultures have different views on what is acceptable.

e.g. What about language and information? Is it in the right format?

Useful websites: www.equalityhumanrights.com, <http://www.bemis.org.uk/> <http://www.cemvoscotland.org.uk/>

How does your policy affect this protected characteristic?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 				
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 				

19 RELIGION OR BELIEF

Religion is the worship or faith in a God or Gods but belief is wider and includes religious, spiritual and philosophical beliefs. It also includes lack of belief or no belief in religion (eg Atheism). Generally, a belief should affect your life choices or the way you live for it to be included in the definition.

Does the function or policy take into account different festivals, holidays, religious days and traditions?

Will the different faith beliefs impact on, for example, women from that group and exclude or prevent them from using the service? Useful website: <http://www.scottishinterfaithcouncil.org/> <http://www.secularism.org.uk/>

How does your policy affect this protected characteristic?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 				
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 				

20 SEXUAL ORIENTATION

Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes. This includes people who are heterosexual, lesbian, gay or bisexual.

- What are the issues for this group in terms of your function or policy?
- Are the needs of this group being met?

Useful website: www.lgbtyouth.org.uk www.stonewallscotland.org.uk/ www.equality-network.org/

How does your policy affect this protected characteristic?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	Neutral Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance equality of opportunity by having due regard to: <ul style="list-style-type: none"> • removing or minimising disadvantage • meeting the needs of particular groups that are different from the needs of others • encouraging participation in public life 				
<ul style="list-style-type: none"> • Foster good relations – tackle prejudice, promote understanding 				

21 HUMAN RIGHTS

This is about protecting and promoting individuals' rights and freedoms.

Useful Websites <http://www.scottishhumanrights.com/> www.equalityhumanrights.com

How does your policy affect people's Human Rights?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate discrimination, harassment, victimisation or any other prohibited conduct				
Advance the aims of the Human Rights Act <ul style="list-style-type: none">• Prevent breaches of human rights• Respect people's rights				
<ul style="list-style-type: none">• Foster good relations – tackle prejudice, promote understanding				

22 HEALTH & WELLBEING

This is about physical and mental health and wellbeing and includes eg feelings of safety and security, leisure activity, participation, creativity, affection, developing/achieving your potential.

How does your policy impact on lifestyles? eg diet and nutrition, exercise and physical activity, substance use.

Does this policy impact on any health determinants other than the above? If yes, how likely and how significant are the effects?
Is this policy likely to increase or reduce local health inequalities?

Useful website: www.scotland.gov.uk/Topics/Health/health

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate health and wellbeing inequalities/ bad practice				
Advance equality of health and wellbeing opportunities				
Foster good health and wellbeing practice				

23 ECONOMIC AND SOCIAL SUSTAINABILITY

This is about eg pay, employment opportunities, assisting businesses to develop or grow, welfare to work schemes and disadvantaged groups, local self-help schemes, and valuing and supporting voluntary work.

How will your policy impact on eg social status, employment (paid or unpaid), opportunities to expand on learning experiences, encourage investment in skills and training, assist people on low incomes or support other disadvantaged groups in any way, help people access advice on financial inclusion, availability or delivery of services for people living rurally, and increase access to facilities for arts, cultural and leisure pursuits.

How will the policy work in rural areas where the existing infrastructure is typically less developed or where infrastructure does not exist (eg mains gas, fast broadband connections)?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate disadvantage or inequality				
Advance opportunities for individuals				
Foster good relations and sustainability of communities				

24 ENVIRONMENTAL SUSTAINABILITY, CLIMATE CHANGE AND ENERGY MANAGEMENT

This is about enhancing the built environment, preserving local heritage, reducing the need to travel by improving or adding to local facilities, conditions for pedestrians and cyclists and promote public transport, living conditions such as housing and green spaces, biodiversity, the amount of Council emissions, fuel consumption, fuel use, renewable energy technologies,

If the effect or possible effect is minimal, no action is required under the requirements of Strategic Environmental Assessment (SEA) but there is a duty under the Environmental Assessment Scotland Act 2005 to notify the SEA authorities. There are templates available to help this process. This should be noted on the summary sheet.

If there is any likely positive or negative environmental effect, a full SEA may be required.

Will your policy affect infrastructure, land or buildings?

In order to comply with the Climate Change (Scotland) Act and Carbon Reduction Commitment Energy Efficiency Scheme our Council must maintain accurate records and data with regard to its Emissions. If your policy may lead to a change in levels of Council emissions, has account been taken of the need to accurately record this data?

Indicate if the Impact is High (H), Medium (M) or Low (L) or (✓) if No Impact	Positive Impact	No Impact	Negative Impact	Comments
Eliminate waste and bad practice				
Advance use of innovative technology				
Foster good practice in energy reduction and use				

25 SUMMARY OF IMPACT

Summarise your results from section 12 to 24 in the table below

<u>Impact Area</u>	<u>Positive Impact</u>			<u>No Impact</u>	<u>Negative Impact</u>		
Age	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Disability	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Sex	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Gender reassignment and Transgender Identity	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Marriage and Civil Partnership	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Pregnancy and Maternity	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Race	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Religion or belief	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Sexual orientation	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Human Rights	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Health & Wellbeing	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Economic & Social Sustainability	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High
Environmental Sustainability, Climate Change and Energy Management	High	Medium	Low	<input type="checkbox"/>	Low	Medium	High

Total Positive Impact =	Total No Impact =	Total Negative Impact =
-------------------------	-------------------	-------------------------

Positive and No impact(s) - the Policy needs no further Impact Assessment at this stage. Transfer the totals to the Summary Sheet for publication
 Negative impact(s) - please complete section 26

- 26 If negative impact(s) have been identified choose the most appropriate option below (a, b or c). Once you have identified your option, record your decision in the table below highlighting the Impact Area and action to be taken.
- a. **unjustifiable** – your Policy must be revised and rewritten to remove the negative impact. This is the concept of 'treat' in risk management
 - b. **can be justified** without further consultation. The justification is noted and recorded and the Policy is signed off. This is the concept of 'managed' in risk management
 - c. **may or may not be justifiable** – the proposed justification for the risk is noted and the Policy is then consulted upon at the level that is appropriate. For instance, an employment policy may require only internal consultation where as a service delivery policy may require partner and external consultation.

Impact Area	Option (a), (b) or (c)	Explanation and action to be taken

Once completed transfer the information to the Summary Sheet for publication

Section 5 : Monitoring And Reviewing

		Guidance
27	How will the implementation of the policy be monitored?	eg customer satisfaction questionnaires.
28	What (if any) environmental data is to be monitored and who is responsible for the collection of this data?	
29	How will the results of the monitoring be used to develop the policy?	This information will useful when you review the policy
30	When and how is the policy due to be reviewed	Detail who is responsible. If there are a significant number of negative impacts, then an earlier date may be recommended

Section 6 : Public Reporting of Results

(information required for the Summary Sheet)

The Council is required to publish the findings and results of all impact assessments conducted.

The lead person is responsible for collating the key comments and actions onto the summary sheet below. All members of the group should receive a copy. A copy should also be sent to the lead service for action.

The summary forms the basis of the committee report information on impact assessment where a report to Committee is required.

The lead person is responsible for sending a copy of this completed Impact Assessment Toolkit form to the Planning and Performance Unit where part or all will be published on the Council's public site. Email it to ImpactAssessment@dumgal.gov.uk

**SUMMARY SHEET
SUMMARY OF IMPACT ASSESSMENT (BLANK)**

Policy Date of process

Lead service Contact person for process

Names of those involved in process

Summary of Impact Assessment

The Council is required to publish the findings and results of all impact assessments conducted. The publication should include a summary of the following:

Research and data (section 3)	what was used to assess the impact of the policy and a summary of the findings. Who was involved and consulted during the assessment stage, the findings from the consultation and how this information was used to develop the policy.
Impact Assessment (section 4)	from the summary table at number 25 list the Positive Impact(s) – total number & Impact Area, No Impact – total number & Impact Area and Negative Impact(s) – total number & Impact Area
Monitoring and review (section 5)	how the policy is to be monitored, how often and by whom.

Summary of actions arising from the Impact Assessment

Transfer details from table at number 26

Actions	Responsibility	Timescale

Section 7 : Quality Control

Monitoring of Impact Assessment screening returns will be carried out by the Planning and Performance Unit.

Feedback (optional) - Please use the space below to detail any matters arising from the Assessment which will help us improve the process

Please score from 1 to 6 where 1 is low and 6 is high

Please tick (✓)

	1	2	3	4	5	6
1 How well did this toolkit help you understand the IA process?						
2 Did the toolkit assist you in improving your policy?						
3 Was the language and format easy to follow?						

4 Any other comments

Please send this form to
Planning and Performance Unit, Dumfries and Galloway Council, Council Offices, Dumfries DG1 2DD
Drop Point: 320 or Email: ImpactAssesment@dumgal.gov.uk