NORTH YORKSHIRE COUNTY COUNCIL

Corporate and Partnerships Overview and Scrutiny Committee

14th November 2011

Review of Equality Impact Assessment Process: Introduction

1.0   Purpose of Report

1.1   Your Committee has decided to examine the Council's use of Equality Impact Assessments (EIAs) to identify:

- whether they meet their purpose of ensuring that decision makers pay due regard to the impact of decisions of people with characteristics protected under the Equality Act 2010.

- whether they are used appropriately to assist in identifying budget savings and identifying the cumulative impact of service changes on people with protected characteristics

- whether there is evidence of the EIA process failing to identify in advance negative impacts which do result from service or policy changes and if so whether the process can be strengthened to reduce this risk.

1.2   This report will provide members with an understanding of relevant legislation, the role of Equality Impact Assessments in meeting the Council's obligations under this legislation and an outline of the way in which this review will be undertaken.

2.0   **Background**

2.1   The current financial climate and the requirement to make year on year savings means that local authorities are having to make very difficult decisions in setting budgets and allocating resources.

2.2   We are witnessing an increasing willingness by members of the general public or representative groups to have recourse to legal challenge in the face of such decisions. One of the areas of challenge is around whether decision makers have met their obligations under Equalities legislation when making decisions. Earlier this year the High Court ruled that Birmingham City Council had acted unlawfully in cutting care provision to disabled people. Although the Council had consulted extensively and considered the needs of disabled people their consultation had been flawed and they had failed to ask the right questions.

2.3   The Equality Impact Assessment is a mechanism for ensuring that we do meet our obligations towards people protected by legislation and thereby minimise the risk of legal challenge. The process should also provide people with an understanding of how we have worked to meet

these obligations and provide services as efficiently and fairly as possible.

2.4 Members will have noted that reports requiring decisions will make reference to and be accompanied by an Equality Impact Assessment or will state that a decision has been made that an EIA is not required. The budget for 2011/12 was accompanied by a large number of Equality Impact Assessments.

3.0 **Relevant Legislation: The Equality Act 2010**

3.1 The Equality Act 2010 (hereafter The Act) identifies a number of protected characteristics. These are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation and marriage and civil partnerships.

3.2 The Act requires the Country Council to comply with the General Equality Duty (GED) which is set out in section 149 of the Act. The General Equality Duty says that we must, in carrying out our functions, have due regard to the need to:
   i.   Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
   ii. Advance equality of opportunity between people who share a protected characteristic and those who do not.
   iii. Foster good relations between people who share a protected characteristic and those who do not.

3.3 Marriage and civil partnerships are only protected by the first "arm" or element of the General Equality Duty i.e. the duty to eliminate unlawful discrimination. All 3 "arms" of the duty apply to the other protected characteristics.

4.0 **The Role of Equality Impact Assessments**

4.1 The Government has indicated that in their view the legislation does not require the completion of an Equality Impact Assessment. However, in carrying out the functions[1] of the authority members or officers making decisions must give deliberate and informed consideration to the General Equality Duty towards people with 'protected characteristics' and we must be able to demonstrate ie prove, that this process has taken place and that we have identified possible impacts of proposed policies and actions on people with 'protected characteristics' before taking any decisions.

4.2 In the opinion of the Corporate Equalities and Engagement Group of the County Council and many other authorities conducting and writing

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[1] . what we do, including policies, decisions, procedures and proposals for changes to service provision and/or delivery and proposed restructuring, and cuts to jobs and/or terms and conditions.

up an Equality Impact Assessment provides the best and most robust way of demonstrating the "due regard" required by the Equality Act 2010.

5.0   **The Equality Impact Assessment Process**

5.1   Guidance for officers undertaking an Equality Impact Assessment is available on the Council's intranet. The template which guides officers through the process, and which was streamlined in August 2010, accompanies this report. Training or support in undertaking an Equality Impact Assessment is available via or from Directorate equality leads.

5.2   A lead officer will take responsibility for conducting an Equality Impact Assessment but may have the support of colleagues or a project team. The guidance advises officers that they need to consider whether a full Equality Impact Assessment is required at the business case stage of developing a new service or policy, reviewing or proposing a change to an existing policy or service or re-organising a service. This applies to services provided on behalf of the Council as well as those we provide directly. Officers are reminded that the assessment needs to consider all the "protected characteristics" and states that the EIA "should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy".

5.3   There are 3 key stages to conducting an Equality Impact Assessment.

5.4   The initial stage is about describing the "operating context" i.e. explaining what the service or policy is designed to achieve, who uses it and how and whether these people have a protected characteristic which is or could be affected by the proposed change, whether it links to other policies or services which need to be thought about at the same time.

5.5   The second stage is about "understanding the impact". It asks officers what evidence they have about who uses the service, how we know whether the service is operating well and how we will monitor the effect of any changes. Evidence might be pulled from national data, regular monitoring data, customer consultation. If there are clear evidence gaps officers might need to undertake future research, possibly including community engagement, before the EIA can be completed.

5.6   The third stage is about "assessing the impact". Decision makers need to be aware of and understand the findings of this section of the Equality Impact Assessment. Officers are asked to identify any adverse impacts which they think could affect people with protected characteristics. If the changes are likely to introduce disadvantage to any such individual or group the officer is asked to suggest ways of minimising or removing any such impact. Any actions identified to

achieve this should be listed in the action plan which follows, together with a named responsible officer, deadline and monitoring process. Consultation with members of the public to reality check the findings can form a part of the process

5.7 If an adverse impact or impacts will remain the key question arises as to whether the new policy or service or the changes being made to an existing policy or service can be justified. The officer is told to seek legal advice at this point. There may be rare occasions when an action which is discriminatory (i.e. has a worse impact on someone because of a protected characteristic) can be objectively justified. The Equality and Human Rights Commission defines "objectively justified" as "when something can be shown to be a proportionate means of achieving a legitimate aim – that is, the way of achieving the aim is appropriate and necessary".

5.7 The completed EIA must be signed off by the Service Head or Business Unit Head and then by the appropriate Assistant Director.

5.8 In some cases an officer may conclude at the first stage of the EIA process that there are no equality and diversity issues relevant to the policy/function/service under review. In such cases the officer completes a form recording the decision not to undertake a full EIA. This is then signed off by Service Head or equivalent and assistant Director or equivalent. This information would be provided to decision makers.

5.9 Full EIAs are clearly public documents and published with the reports they accompany on the County Council website. In addition summaries of the EIAs and any decisions not to carry out an EIA are published in the Equalities area on the website.

6.0 **Process by which Corporate and Partnerships Overview and Scrutiny Committee will review the effectiveness of Equality Impact Assessments**

6.1 At the Committee's mid-cycle briefing on 17th October 2011a decision was made to look at a number of completed EIAs or decisions not to conduct a full EIA in more detail. The focus will be on checking whether actions identified in action plans have been carried out, what reviewing processes are in place and whether or how officers "reality check" the impacts identified prior to a change to a service or policy being made with the actual impact on people with protected characteristics once the change has been implemented.

6.2 The EIAs / decisions not to EIA which your committee intends to examine accompany this report. They are:

- Reablement. The reablement service aims to enable people to live more independently and for longer. (HAS).
- Reduction in Bus Subsidy. The EIA considered the impact of the proposed reduction in bus services funded or subsidised by North Yorkshire County Council. (BES: Integrated Passenger Transport).
- Residential disabled parking bays policy. This considered the policy around introducing disabled parking bays to provide on street parking for blue badge holders in residential areas. (BES: Integrated Transport Group).
- Adoption Procedures: Prospective Adopter Policies. The policies describe the baseline criteria on which the Adoption Service will consider applications to become an adoptive parent. (CYPS: Children's Social Care).
- Credit Control. Exchequer Services provides a debt recovery service for the County Council to obtain payment for invoices raised on the Accounts Receivable (AR) system. A decision not to undertake a full EIA was made. (FCS: Exchequer Services).

6.3   Officers involved in the conducting the work around these EIAs and their Directorate Equality Representatives will be asked to provide information identified at 6.1 (whether actions identified in action plans have been carried out, what reviewing processes are in place and whether or how officers "reality check" the impacts identified prior to a change to a service or policy being made with the actual impact on people with protected characteristics once the change has been implemented). This will then be reported to your Committee to enable testing and scrutiny of the process. Officers will obviously be available to attend your Committee for reporting purposes.

6.4   A decision was also made at the mid-cycle briefing to consider the EIA process being undertaken around two items in Yr 3 & 4 budget savings:
 Transforming Learning Disability Services
 Home to School Transport - changes to policy, procurement and charges

6.5   Again, officers involved in carrying out the EIA work in these areas, can be asked to provide written information to your committee. However, members might also like the opportunity to meet with officers undertaking the EIAs to discuss the process outside the Committee Meeting. If so, this can be arranged.

6.6   Initial consideration of the Committee's work programme suggests that your meetings of 11th June and 12th September 2012 might be appropriate for receiving reports on this work.

2.0	Recommendation

2.1   The Committee is asked to review the report and indicate:

- Whether the proposed approach meets their requirements or

- Whether they would like to amend the approach in any way.

Report prepared by: Tom Jenkinson
Corporate Development Officer

Background papers:
Equality Impact Assessment Template
Reablement EIA
Reduction in Bus Subsidy EIA
Residential Disabled Parking Bays Policy EIA
Adoption Procedures: Prospective adopter Policies EIA
Decision not to carry out a full EIA on Credit Control

County Hall
Northallerton

20th November 2011

Equality Impact Assessment Template

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

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<u>**Undertaking an Equality Impact Assessment**</u>

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.

They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as **'protected characteristics'** or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Race – this include ethnic or national origins, colour and nationality
- Disability – including carers
- Pregnancy and maternity
- Gender reassignment
- Age
- Marital/civil partnership status

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area				
Name of the service/policy being assessed				
Is this the area being impact assessed a	Policy & its implementation?		Service?	
	Function		Initiative?	
	Project?		Procedure & its implementation?	
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?			
	Proposed service or a policy and its implementation?			
	Change to an existing service or a policy and its implementation?			
	Service or Policy carried out by an organisation on behalf of NYCC?			
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer				
Names and roles of people carrying out the Impact Assessment				
Lead Officer and contact details				
Date EIA started				
Date EIA Completed				
Sign off by Service Head/ Business Unit Head				
Sign off by Assistant Director (or equivalent)				
Date of Publication of EIA				
Monitoring and review process for EIA				

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

1.1 Describe the service/policy What does the service/policy do and how? How would you describe the policy to someone who knows very little about Council Services? If there is a proposal to change the service or policy, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change? Who does it benefit? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? identify those protected characteristics for which this service is likely to have an impact (positive or negative) Are there any other policies or services which might be linked to this one? Have you reviewed the EIA for these policies/services? What do they tell you about the potential impact? How will the policy be put into practice? Who is responsible for it?	
1.2 How do people use the policy/service? How is the policy/service delivered? How do people find out about the policy/service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service/policy is welcoming to all groups within the community? Does the policy/service support customers to access other services? Do you charge for your services? Do these changes affect everyone	

equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy? How do you ensure that staff/volunteers delivering the service follow the Council's equality policies? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements?	

2. Understanding the Impact (using both qualitative and quantitative data)

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

2.1 What information do you use to make sure the service meets the needs of all customers? What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant? What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How has this changed the plans for the policy/service?	
2.2 What does the information tell you? Are there any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?	

Please include data and analysis as an appendix	
2.3 Are there areas where we need more information? How could we get this information? What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this? Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What do you want to find out? Which existing mechanisms can you use to get this information? Please refer to the Community Engagement toolkit on the NYCC intranet	
2.4 How will you monitor progress on your policy/service, or take-up of your service? What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?	

3. Assessing the Impact

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups? Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups? Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?	
3.2 How could the policy be changed to remove the impact? Which options have been considered? What option has been chosen?	
3.3 Can any adverse impact be justified? If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group? **Please seek legal advice on whether this can be justified.**	
3.4 Are you planning to consult people on the outcome of this impact assessment? When and how will you do this? How will you incorporate your findings into the policy?	
3.5 How does the service/policy promote equality of opportunity and outcome?	

Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?	
Don't forget to transfer any issues you have identified in this section to the Equality Action Plan	

Action Plan

What are you trying to change (outcome)?	Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring

Name of the Directorate and Service Area	Adult & Community Services				
Name of the service/policy being assessed	Re-ablement Service				
Is this the area being impact assessed a	**Policy & its implementation?**	**X**	**Service?**		**X**
	Function		**Initiative?**		
	Project?		**Procedure & its implementation?**		
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	**Existing service or a policy and its implementation?**				
	Proposed service or a policy and its implementation?				
	Change to an existing service or a policy and its implementation?				X
	Service or Policy carried out by an organisation on behalf of NYCC?				
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Through the START Project Core Group.				
Names and roles of people carrying out the Impact Assessment	Linda Denham Area Manager Tim Smith, Workforce Development Manager Amanda Whitehouse, Area Registered Manager Kirsty Haslam, SIOM Jan Cleary, Strategic Commissioning Manager Terry O'Brien, Quality Manager Geraldine Mahon, Change Implementation Officer Carol Johnson, Senior Change Implementation Officer Debbie Winstanley, Registered Manager Lisa Gallon, FASSM Dave Wheelhouse, Diane Thorpe, Registered Manager				

Other officers involved in the assessment Eg taking part in peer review, challenge, quality assurance	Shanna Carrell, Equality & Community Engagement Officer	
Lead Officer and contact details	Jan Cleary 01609 534711	
Date EIA started	3/9/09	
Date EIA Completed	15/5/10	

Sign off by Service Head/ Business Unit Head	
Presented at Directorate Equality and Diversity Working Group	
Date and place of Publication of EIA	
Monitoring and review process for EIA	

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.1 Describe the service/policy What does the service/policy do and how? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council Services? Does the policy, plan or service reflect relevant legal frameworks (including equality legislation) and national and local performance targets? Does the service/policy adhere to the principles of the social model of disability? Are there any other policies or services which might be linked to this one? Are they being impact assessed? How will the policy be put into practice? Who is responsible for it?	The Service Specification is attached Y:\Geraldine M\ Reablement Work Ser The Service will be available for all adults over 18 years referred to ACS with physical disability, sensory impairment, learning disability and mental health issues, within registered managers' criteria for a reablement service. The START teams will offer a short term assessment and reablement service which aims to:- 1. maximise each individual's independence 2. Prevent/delay the need for domiciliary care 3. . Reduce the level of domiciliary care required by those people who need ongoing support 4. Reduce the number of hospital/care home admissions 5. Facilitate timely hospital discharge. Staff will work with the person to identify the outcomes they want to achieve, and explore assistive technology solutions along with the use of universal services. The assessment tool will reflect the learning from the recent consultation on the NAQ, and will include inclusive language and diversity "prompts" Stakeholders include ACS and all possible referrers including the independent and voluntary sector, health staff, and people who (may) receive support and carers. The changes for the ACS staff group will be as a result of a comprehensive consultation process which has included Unison. There will be no staff reductions and Job Evaluation has resulted in no changes to payscales. There will be a supportive approach to suitability interviews. The service will reflect relevant legal frameworks including Care Standards Act 2000;

1. Operating Context

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Community Care Act; Chronically Sick & Disabled Act 1970; Mental Capacity Act 2005 ETC ETC

It also reflects the North Yorkshire County Council Community Engagement strategy 2008.

The national /local performance targets it responds to are:
NI 125 - Intermediate care - at home 3 months after discharge from hospital for over 65s.
NI 133 - timeliness of social care packages
NI 135 – No. carers receiving an assessment / review
NI 136 – No. adults supported to live independently
C28/L13 - No. households receiving intensive homecare packages
L18 and 19 - No. adults benefiting from Telecare (including those preventing admission to residential care)
C72 – No. adults over 65 admitted on a permanent basis to residential / nursing care

The service will reflect the Social Model of Disability as it runs as a "golden thread" throughout; enabling people to identify barriers to them managing their health condition and achieving their goals. The staff training package reflects this need.

The evaluation of the initial implementation phase will take place from July to November 2010, and will include detailed tracking of cases. The analysis of the tracking and the demographic data will include issues relating to equality and diversity.

There will be clear pathways in and out of START and it will be possible for people to have multiple episodes of START, depending on need.

Other services will be impacted by this new development including :
Intermediate care, PCT services, the existing PCAH service, social care assessment services. The personalisation agenda along with the role and functions of 3rd sector and independent community services will also be affected. Other EIA's need to be looked at.

The new service will be implemented on a roll-out programme scheduled over a two year

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

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period.

Baseline data has been gathered across the county, recording the people who accessed a new personal care support package in the three month period from June to September 2009. This data has been analysed according to age, gender, religion, ethnicity, and main client category (ie dementia, sensory impairment, mental health, physical disability, frailty and/or temporary illness, learning disability, vulnerable person). The demographics of the 954 people were compared to the wider North Yorkshire population and an earlier analysis of access to services in general in NYCC (How Equal is Access to NYCC ACS Services).

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Nearly 40% of all people receiving a PCAH service are aged 85 or over, compared to 3.3% of the general population. The age profile of those receiving a START service is not expected to be any different from the current PCAH service.

All under 18's are excluded from PCAH and START. This is a deliberate exclusion as ACS does not offer services to children.

The PCAH user satisfaction survey indicates a generally high level of satisfaction with the service, with little significant variation according to gender, age, ethnicity or area. It is anticipated that the START service, working within the same operating framework, will deliver similar ranges of user satisfaction in these categories. This will be monitored.

There are more women accessing the PCAH service than men. This is explained by the fact that women have a higher life expectancy.

The representation of different faith groups is broadly similar for those receiving a personal care service and those receiving services generally, as is the case with ethnicity.

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1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

	The PCAH service currently offers its service mainly to people over the age of 65, resulting in the main client categories for the majority being physical disability (43.7%) and frailty/temporary illness (42.4%).
	This is expected to change for the START service, as it is intended that it will offer a service to people with a learning disability and people with mental health problems. Currently all services for these groups are delivered by separate staff groups. There will be a joint approach between START and in-house specialist services.
	There is currently no information gathered re sexual orientation, however, it is estimated that 5 to 7% of North Yorkshire's population will be LGB, in line with Stonewall estimates.
	The EIA of Craven Initial Contact Team, which operates on a similar basis to START, indicates that there is low take up of this service from people from the Muslim community. This is being addressed via community engagement events in the localities. This service noted that the staff team had much to learn about the cultural needs of people from the Muslim community. This needs to be addressed in START training, and in ensuring that any community engagement events in localities include information about START. This EIA also identified that the workforce profile was almost entirely female, which may result in barriers for some client groups e.g. for some male clients due to culture / modesty. This needs to be part of the Directorate's workforce planning strategy.
	Mapping, needs analysis and action planning to better meet social care needs of Gypsy and Traveller communities is underway, led by a small task group and building on work undertaken by the Supporting People Team.
	For all communities the ethos of personalisation will mean that individuals will be supported to identify the issues and outcomes which are important to them, and the solutions to achieving the desired outcomes. This person centred approach, which is at the heart of reablement, should be more effective than current service led approaches in supporting people's individuality and diversity.

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Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

	There is a planned evaluation of the initial implementation of START in November 2010. This analysis will be repeated and comparisons made, to ensure that any changes in usage patterns according to age, disability, ethnicity, sexual orientation, faith, or gender are identified. The work is being led by Beverley Maybury, Head of Social Care, Provision and Regulation and developed by the ACS Project Group.
1.2 Is the policy/service you are impact assessing physically accessible? Is the policy/service delivered in the right locations? Are locations welcoming and appropriate for its function and customer needs? Are the opening times accessible? Have you carried out an access audit? Do you provide specialist equipment to help people access your services if it is needed? Does the policy/service promote or further enable access to services?	Please see the Service Specification in 1.1 Ultimately the Service will be provided 24 hours/7 days and available across the County. but during development and phased implementation there will be different levels of service and access to the service in the areas. People who wish to receive the service will be assessed (as at present) with any specialist equipment necessary being provided. Individual service plans and delivery will be designed to meet individual customer needs. The service will be provided in people's own homes, so physical access should not be an issue (should individual's access needs in their own homes be an issue, OT assessment will be carried as required, as is currently the case). The capacity of specialist services such as sensory needs to be audited as part of the evaluation, as it is currently uncertain whether these services will be able to provide the required intensive input in the initial 6 weeks. FACS presents a barrier to people who may wish/need to receive support from this new service but who do not meet the eligibility criteria. This is no different for START than for other social care services. Self-funders are entitled to an assessment and signposting to services available from the independent sector. The independent sector will need to change its approach and role in response to this new service development. Dialogues with the voluntary and independent sectors have recently

1. Operating Context

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	been completed, and work is ongoing to develop the markets to ensure that appropriate services are available, including the expectation that services work to a reablement ethos to ensure that gains through START are not lost if ongoing services are then provided.
1.3 Is the information and communication provided accessible to everyone? Is information and correspondence accessible and does it use appropriate language? Do your documents include an Accessibility Statement (link to Accessibility Statement) and will you provide information in other formats on request? Remember to think about the needs of people who are disabled or people whose first language is not English. Can customers contact your service easily and accessibly in a range of different ways? Do people know how to contact you? Does information avoid the use of stereotypical language, or negative images of different groups of people? Does the information adhere to the principles of the social model of disability? Do you consider customer needs when arranging the timing and venues of meetings or events?	A communication plan is in place and some thought has been given to information leaflets such as a Guide to the Service for the public and Statement of Purpose to meet CQC requirements. START has been incorporated into the SDS leaflet, which has been widely consulted on. The Working Group will monitor any changes in requirements of information for the public to ensure it meets National Minimum Standards for Health & Social Care. Using information in the Equalities Impact Assessment of the Craven Initial Contact Team, correspondence with people accessing the service will be in large font. Information for people accessing the START service will also need to be made readily available in a range of accessible formats such as audio, easy-read, BSL DVD, rather than relying on people requesting such formats. This will help the Council to meet the anticipatory duty to make reasonable adjustments under the DDA 1995. The working group is also aware of issues for staff training around the identified impact issues and potential staffing implications in meeting individual need sensitively and appropriately. Person-held records and support plans also need to be accessible and meaningful to the person receiving support. The service and all information will reflect the Social Model of Disability as it runs as a "golden thread" throughout; enabling people to identify barriers to them managing their health condition and achieving their goals.
	Eligibility criteria is included in the Service Specification 1.1

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.4 How is your service/policy delivered?	
Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you ensure that external bodies comply with the Council's equality requirements? Is the policy delivered with volunteers? Does this raise any implications e.g. training needs? Are volunteer opportunities available to all?	Everyone who receives support will be charged in accordance with North Yorkshire County Council current charging policy. Intermediate care will continue to be free at the point of delivery – if the service does not form part of an intermediate care response then a financial assessment will be carried out and a charge made. If the need for an interpreter leads to delays this will not affect the length of the START intervention. Where there are specialist needs eg LD, MH, PSI, START will in many cases work jointly with specialist workers to deliver the reablement service. Existing service recipients will be reviewed and may be transferred to a different independent provider. This may result in a difference in the cost to the recipient. Initially this is an altered internal service and at a later stage this will have an impact on partner agencies and their work with ACS. This will include the model of practice adopted by them. Agency staff will be expected to work to an enablement model if they are contracted to ACS. This EIA needs to link with the development of the Quality Assurance Framework and all Strategic Commissioning work to ensure that issues around equality and diversity and reablement ethos are built into contracting and contract monitoring, and market development.

Don't forget to transfer any issues you have identified in this section to the Equality Action Plan

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

| **2.1 What data do we use now? Is it broken down by equality and diversity categories?**

How current is the data? Where is it from? Is it relevant?   Are the equality and diversity categories consistent across all the data used? | The current PCAH baseline which was collected from June 2009 to September 2009 has been analysed.

There is no significant difference between the demographics of people accessing PCAH services and those accessing all services. There do not appear to be any particular barriers for entry to the service according to age. The evaluation will check out the hypothesis that the new service will be delivered to more younger people.

More women access PCAH than men, which can be explained by the difference in life expectancy.

The data relating to religion indicates that there is fairly even access to people of all religions/faiths and beliefs to PCAH services, and therefore to START services.

The ethnicity figures show that the numbers of people from minority ethnic groups are small, leading to difficulty drawing conclusions, but they do not suggest any particular discrimination on the grounds of ethnicity once people are on the care pathway. There is, however, a significant amount of "not stated" which might suggest training or recording issues, which will be picked up in the AIS training. In addition, the figures show fewer minority ethnic people accessing services than might be expected compared to the overall minority ethnic population – work in underway to actively engage with communities to ensure that they are aware of the services available from Adult Social Care.

The majority of people who receive a PCAH service have either a physical disability or frailty/temporary illness as their main client |

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

	category. At evaluation we would expect to see more learning disability and mental health main client categories. The PCAH user satisfaction survey is broken down by equality and diversity categories. No issues are highlighted by this. For the START service we will compare outcomes for the different groups, and to compare outcomes in rural and urban areas, as improved performance outcomes data will be collected, including quality of life information and functional assessment scores pre and post intervention.
2.2 Are there areas where we need more information? How could we get this information? What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately eg compliments and complaints? Are the national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?	
2.3 What analysis have you carried out on the data? Does the analysis include general demographic trends and local specific trends such as ageing, migration and the nature of minority ethnic communities and other diverse groups eg lesbian, gay, transgender etc? Does it include trends about specific sectors as appropriate eg education, transport, housing, retail and business opportunities?	See analysis of baseline data at 2.1 above. Demographic trends project an increase in the number & proportion of older people in North Yorkshire, and an increase within that of older people with more complex needs. There will also be growth in the number of adults with complex long-term conditions including those with a learning disability, and in older people with mental health problems. *

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Does your policy or plan identify how changes in demand for services and potential demand will be tracked over time, and the process for influencing service change? Doest it identify the level of take-up of services by different groups of people? Is it free of generalisations or stereotypical notions about people of different groups and does it reflect the diversity of people in North Yorkshire? Does it identify the equality profiles of users/beneficiaries and staff?	*Strategic Commissioning for Independence, Wellbeing and Choice 2007-2022* Data will also be collected about the use of the new service by self-funders as this group should have equal access to the service. The evaluation of the initial implementation phase will look at the demand for the service, and will determine the overall size of the service.
2.4 What does the analysis of the data show? Does the data show any differences in outcome for different groups? Eg differences in take up rates or satisfaction levels across groups. Is it what you expected? Does it change earlier assumptions? Please include data and analysis as an appendix	See analysis of baseline data at 2.1 above
2.5 What are the mechanisms for the ongoing monitoring of progress on your policy/service, or monitoring take-up of your service? Given the information above do monitoring mechanisms need to be altered to make sure that all the required data is captured? What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service?	A performance framework is in place which will enable service take up by different groups and associated outcomes to be monitored. A longitudinal study will take place, via the tracking of different cohorts of people using the new service. In addition there will be a series of staff focus groups, which will pick up interface issues. This will help us to track and compare outcomes. The performance framework will shape this, recording the comparison between the outcomes achieved via START (functional assessment

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

How often does the policy/service need to be reviewed? Who would be responsible for this?	scores, number of people no longer needing a service, number of people with a reduced service need, number of people with an increased service need, number of people using assistive technology) and those achieved by the control group of current PCAH users (baseline data group) Service complaints and compliments will be collated. There will be a quality monitoring framework in place. The Project Team will monitor the development and performance of the service on a quarterly basis. The Service will incorporate a Quality of Life self assessment tool. Comparisons will be made between the PCAH user satisfaction surveys.
2.6 Does your service meet the needs of all customers? How do you know? How do you check? Do some needs/priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?	See 2.1 and 2.5 above.
2.7 What consultation have you already done that you can use to inform this impact assessment? Please summarise the main findings from the consultation Can you analyse the results of this consultation by social identity e.g. race, gender, age, disability, faith, Sexual orientation Who did you consult and how? What are the main findings? Are there differences in response between different groups? Are there more findings yet to come?	Nationally the majority of people (some 80%) wish to live independently within their own homes as long as possible (DH 2006). In addition, people consistently tell us that they want to have practical and personal assistance that offers choice and control, promotes independence, treats them with respect, and preserves their dignity (CSCI 2006). This study states that many people receiving traditional home based personal care services find the task based approach inflexible and insensitive to their needs. NYCC's JSNA states that people of all ages place a high value on

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

NB - if this is an update please say when this information has been added. Did you find that some groups felt that they were adversely affected by the policy/service? Did you feedback the findings of the consultation to those who were involved?	occupation, fitness, access to leisure and activity. A consistent message concerns the desire and willingness of people to be responsible for their own health and wellbeing and get on with their lives; they just need things to be put in place to enable this to happen. This ethos has directly fed into the service design. The NYCC PCAH user satisfaction survey records some concerns about workers being in a rush, with a total of 59% of respondents saying that they are always, often, or sometimes in a rush. The additional capacity in the START service will enable workers to spend 50% more time in direct support time. Feedback from the consultation on the NAQ indicates that some people found it difficult to engage with assessment process as they felt too poorly at the point at which assessment was carried out. The START assessment tool is designed as an ongoing assessment, which evolves over the course of the intervention. People should feel more able to engage with the NAQ after a period of reablement. Prior to the development of the reablement service model, multiagency workshops took place in the 4 North Yorkshire areas. These workshops included BGOP representatives and carers' representatives. The aim of the workshop was to identify what was working well on the ground, deficiencies in pathways, and to consider more joined up ways of working. Similar discussions took place at the Easingwold BGOP group, and the county BGOP conference. The comments from the workshops fed into plans for integrated working, which in turn fed into the reablement service model.
2.8 What is the communication strategy to advertise and promote your plan, policy or service?	An article will go in the NY Times in June, giving a personal account of the positive impact of reablement. Information will be on the NYCC website. It will be in the self directed support leaflet and the general

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

	NYCC overview leaflet.
2.9 Is there any more consultation that you need to do to inform this impact assessment? Have you identified in other sections of this impact assessment information that you need to assess the impact of the service/policy on different groups of people	The NY Times article will include the availability of an email address for comments on the new service. Information about START has been given to mental health staff, and they have been offered the opportunity to comment on the best ways for the service to engage with people with mental health issues. Reports will be taken to the PSI Partnership Board and the LD Partnership Boards with a view to seeking advice about the ways in which the service could be tailored to meet the needs of people with physical and sensory impairments and learning disability. Additional input is needed to Older Peoples Partnership Board, mental health reference groups, and carers' services.
2.10 How and when you will consult service users about this policy/service in the future? What do you want to find out? Who will you consult with? What method will you use? What are the potential or known barriers for different equality groups of your chosen method? How will you overcome this? Have you considered the accessibility of your consultation? (see consultation toolkit) When will findings be available? Will the consultation/involvement be ongoing, regular or a one-off?	The assessment process included questions about the perceived effectiveness of the service. There will be information on the NYCC website, with the opportunity for people to comment/ask questions. Further consultation and engagement will be considered once the evaluation has been completed and analysed.
2.11 Will you use existing consultation mechanisms?	

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Will consultation utilise existing NYCC communication, consultation and engagement mechanisms rather than setting up new mechanisms? E.g. the Citizens panel, disability reference groups, the employee equality forum? (link to mechanisms) If not please explain why	Existing consultation mechanisms have already been used and will continue to be an important part of ongoing / future engagement plans.
2.12 What do people from different groups want? Have you asked people from different groups what they need or want? What was the outcome of this? Is this reflected in your policy/service	This has been and will continue to be addressed via consultation with user groups such as Partnership Boards. See 2.7 above.

Don't forget to transfer any issues you have identified in this section to the Equality Action Plan

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

3.1 Is there a Lead Officer at a senior level for this policy/function? Is the Lead Officer fully aware of equality and diversity issues generally and those specific to this policy? Are they regularly briefed/updated on equality and diversity? (more specific)	Bev Maybury, Assistant Director, Adult Social Care Operations is the lead officer, and is a member of the Directorate's Equality Strategy Development Group.
3.2 Are staff training needs identified? Do staff understand wider equality and diversity issues and the issues specific to this policy? Are staff sufficiently aware of equality and diversity issues to allow them to signpost to information about this and other policies, plans or services - to promote better customer care? If training needs identified contact your Directorate representative.	Equality and Diversity training is part of induction and NVQ training for resource workers, and will be part of the START training programme.
3.3 Is the role of key partner organisations identified? Are key partners identified and their role in equality and diversity issues explained?	
requested	One of the key elements of the service model is the promotion of the use of community resources. People will be encouraged and enabled to maintain/re-establish social contacts, and to use mainstream services such as libraries and leisure services. Locality information packs are currently being developed. Care Services Managers will be supported to ensure that a diverse range of social groups / networks etc are included (for example a social group for LGB people).

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

3.5 Does the policy contribution to better community cohesion? Does it promote good relations between different communities?	

Don't forget to transfer any issues you have identified in this section to the Equality Action Plan

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

4.1 Has an adverse impact been identified for one or more groups? Has the consultation or data analysis shown anything in the policy, plan or service that results in disadvantage or discrimination towards people of different groups? Which groups?	The service is not yet in operation. Potential for adverse impact has been identified in the following areas. 1. Rapid access to translators/interpreters (and requirement to have information about START readily available in range of alternative formats) 2. Capacity for specialist teams to work jointly at short notice. 3. Lack of engagement from wider service group resulting in potential for unidentified access issues for (e.g.) people with a learning disability, people with physical and sensory impairments 4. Training not adequately dealing with issues of equality and diversity, particularly practical application of cultural competency and social model of disability 5. Failure to apply equality and diversity standards in linked projects eg Zoning, charging
4.2 How could the policy be changed to remove the impact? Have you considered all the different options? If you feel that you don't have enough information to decide this, one of your actions may be around gathering more information.	Information will need to be gathered as part of the evaluation and any adverse impacts acted upon. Relevant people in other workstreams to be made aware of this EIA
4.3 Are you planning to consult people on the outcome of this impact assessment? When and how will you do this? How will you incorporate your findings into the policy?	ACSMB Mental Health Social Care Leads Sensory and LD teams Strategic Commissioning Procurement, Contracting and Quality Assurance Unit
4.4 Can any adverse impact be justified?	Although potential for adverse impact has been identified, if we

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?	address the issues (4.1) no adverse impact should remain. We will use the evaluation and ongoing monitoring to check.
4.5 Are equality and diversity principles promoted and mainstreamed? Even if there isn't any adverse impact are there actions that could be undertaken to promote and mainstream equality and diversity principles? Is best practice being followed, and being disseminated to others?	A Guidance Note for staff will be produced, to include prompts re equality and diversity, for example in the assessment stage. The letter for recipients of the service will ask them to think about any cultural/faith issues which are important in the delivery of a service to them, and discuss these with their assessor. The Implications Group will be in place to troubleshoot issues which arise during the implementation phase.
4.6 Are there any other equality issues that haven't been covered through this impact assessment? Are there any other sections of the community that are affected?	No
4.7 Service Performance Planning Are equality issues addressed in your service performance plans? How will the issues raised in this Impact Assessment be incorporated into your mainstream planning? How will equality issues be monitored?	1. Partial roll out in two areas. Further roll out will be based on the evaluation. 2. There could be potential impacts which are currently unforeseen owing to the many interfaces with wider aspects of service delivery, commissioning and contracting. These will be picked up during roll out and evaluation, and fed in to ongoing implementation.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Equality Action Plan

Issue What are the key equality issues identified from the assessment and consultation and data analysis phases?	Considerations Are there any legal considerations/ implications? Can less favourable treatment be justified? Are there any other changes that need to be considered? Have you sought advice? Who from?	Objective What outcome would you want to achieve? Is it achievable?	Action What improvements could you make to achieve this outcome? What resources will your require to achieve this outcome? **All actions identified here should be included in your Service Action Plan/ Equality & Diversity Action Plan**	Timescale & Lead Officer
Access to translators / interpreters delaying access to START	Disability Discrimination Act 1995 – duty to make reasonable adjustments / anticipatory duty Race Relations (Amendment) Act 2000		Identification of issues via the evaluation and development of an action plan	December 2010 Jan Cleary
Some disabled people will require information to be made available in other formats, including audio, Braille, easy read, BSL – in addition to large print	Anticipatory duty to make reasonable adjustments under the DDA 1995.	Information to be accessible to disabled people	Information for public to be made available in range of formats, in advance of any requests, including easy read, audio, Braille and BSL DVD.	
Capacity of specialist teams			As above	December 2010 Jan Cleary
Lack of engagement of main user groups	Disability Discrimination Act 2005 / Duty to Involve	Wider consultation with all user groups/wider public to	Capacity issue: requires wider involvement of	September 2010 Bev Maybury

	2009 (section 138 of the Local Government and Public Involvement in Health Act)	ensure that new approach is fit for purpose	operational management group in the consultation process	
Impact of links with other policies and programmes which have not been EIA'd			Wide dissemination of the START EIA	June 2010 Jan Cleary
Full cost payers whose service is reprovided into the independent sector and who opt to purchase the service themselves via a personal budget, may have to pay more than the £16 per hour capped hourly rate for in house PCAH. Harrogate/Craven is likely to be the area which has the highest impact.		Removal of financial impact on full cost payers Minimisation of financial impact to ACS	Further work to identify the scale of the issue and any potential financial impacts for ACS. Link with Self Directed Support and Zoning projects. Report to Reablement Steering Group and ACSMB as necessary.	Lisa Gallon Jan Cleary September 2010

5. Publicity and Communication of the Equality Impact Assessment

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

	Evidence
5.1 How will these results be published? Include reference to how results will be made accessible, plain English, summary/key points, who is the audience e.g. staff, community, services user etc.	This equality impact assessment will be summarised and published on the County Council's website.

Equality Impact Assessment
- Proposed Bus Service Reduction
2011

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگرآپ کومعلومات کسی دیگرزبان یا دیگرشکل میں درکارہوں تو برائے مہربانی ہم سے پوچھئے۔

Undertaking an Equality Impact Assessment

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.

They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as '**protected characteristics'** or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Race – this include ethnic or national origins, colour and nationality
- Disability – including carers
- Pregnancy and maternity
- Gender reassignment
- Age

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area	Business and Environmental Services, Integrated Passenger Transport				
Name of the service/policy being assessed	Proposed Reduction in Bus Subsidy				
Is the area being impact assessed a	**Policy & its implementation?**		**Service?**		✔
	Function		**Initiative?**		
	Project?		**Procedure & its implementation?**		
Is this an Equality Impact Assessment for a	**Existing service or a policy and its implementation?**				
(Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	**Proposed service or a policy and its implementation?**				
	Change to an existing service or a policy and its implementation?				✔
	Service or Policy carried out by an organisation on behalf of NYCC?				
How will you undertake the EIA?	Individual Officer				
Names and roles of people carrying out the EIA	Chris Roberts - Team Leader, Public Transport				
Lead Officer and contact details	Chris Roberts, Tel: 01609 5355672, e-mail: chris.roberts@northyorks.gov.uk				
Date EIA started	26 July 2010				
Date EIA Completed	31 October 2010				
Sign off by Service Head/ Business Unit Head					
Sign off by Assistant Director (or equivalent)					
Date of Publication of EIA					
Monitoring and review process for EIA					

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

1.1 Describe the service	This EIA seeks to identify impact as the result of a proposed reduction in bus services that are funded/ subsidised by North Yorkshire County Council (NYCC). A full EIA was carried out on contracted local bus services in July 2009 and is available separately.

1.1 Describe the service

What does the service do and how? How would you describe the service to someone who knows very little about Council Services?

If there is a proposal to change the service, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change?

Who does it benefit? What are its intended outcomes? Who is affected by the service? Who is intended to benefit from it and how? Who are the stakeholders? identify those protected characteristics for which this service is likely to have an impact (positive or negative)

Are there any other services which might be linked to this one?   Have you reviewed the EIA for these services?   What do they tell you about the potential impact?

How will the service change be put into practice? Who is responsible for it?

This EIA seeks to identify impact as the result of a proposed reduction in bus services that are funded/ subsidised by North Yorkshire County Council (NYCC). A full EIA was carried out on contracted local bus services in July 2009 and is available separately.

The Directorate has a budget which is available to provide local bus services which do not form part of the commercial network. In 2010/11 this budget is £6.12m. It is estimated that about 25% of our current bus network is funded by the Council and these services carry over four million passengers each year.

In the current economic climate NYCC has no choice but to reduce spending across the range of public services we provide and we need to consider the extent to which expenditure on bus services can be reduced to contribute to this. In the absence of detailed figures from the Government, the council established indicative budget reduction targets for each department and considered plans to achieve these. In relation to the total budget for Integrated Passenger Transport (IPT) the following table sets out the year on year savings requirement which was identified in July 2010.

Budget Reduction Guide from 1/7/10 in £'000s				
2011/12	2012/13	2013/14	2014/15	4 Yr Total
149	149	149	149	596

Proposed Change:
It is recognised that these figures will need to be updated in light of more recent information. In order to achieve this we propose that we will no longer provide funding for the following journeys:
- Journeys which operate on Sundays and Bank Holidays.
- Journeys which operate Monday to Saturday in the evenings   (generally after 7pm).

	▪ Service 767 which operates between Harrogate and Leeds Bradford International Airport. ▪ Contribution to the Moors and Dales bus networks. These services were identified based on reason for use, rather than the number of people who use them; they are primarily used for non-essential or leisure journeys in comparison with daytime Monday to Saturday journeys. In order to meet our objective saving of £596K it would be necessary to have a blanket approach to all Evening and Sunday contracted services; the total value of these contracts was estimated as £600,000 per annum. In making the above proposal reference was made to our criteria for supporting bus services (see 1.2 below) as set out in our Bus Strategy. We determined that our objectives are best met by maintaining a robust network of daytime services on Mondays to Saturdays which provides essential access for as many residents as possible.
1.2 How do people use the service? How is the service delivered? How do people find out about the service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service is welcoming to all groups within the community? Does the service support customers to access other services? Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service? How do you ensure that staff/volunteers delivering the service follow the Council's equality policies? Does the	*See EIA - Bus Network Management (July 2009) for detail.* The bus strategy sets out the criteria used to determine which socially necessary bus services to support. The council will have regard to: ▪ Passenger demand, the extent to which the following journey purposes are catered for: ▪ Access to work; education; health services; shopping facilities and leisure services. ▪ The availability of alternative services for example rail services, community transport or other bus services. ▪ The extent to which the service represents value for money for the Council. It is important that an appropriate balance is struck between the need to address social exclusion by improving access and the need to secure value for money overall. Baseline value for money measures are: ▪ We will not fund journeys which carry fewer than three passengers on a regular basis. ▪ We calculate the subsidy per passenger journey and work towards a situation where the maximum subsidy per passenger journey is £7.50

Council deliver this policy in partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements?	

2. Understanding the Impact (using both qualitative and quantitative data)

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

2.1 What information do you use to make sure the service meets the needs of all customers?
 	
What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?
 	
What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics?   Are there differences in response between different groups? How has this changed the plans for the policy/service?
	In July 2010 NYCC embarked on a 3 month consultation exercise to establish the impact of withdrawing the identified services. The consultation detailed the process, timeframe and specific services which were affected. Comments were invited from stakeholders and the public as part of an extensive consultation process.
	
	Posters were displayed on affected bus services, and detailed on the County's website. The consultation was published in the NY Times which was distributed to all households in North Yorkshire, and additionally sent to:
	▪ All County Councillors
	▪ 142 directly affected Parish Councils
	▪ 87 bus and community transport providers
	▪ 79 Stakeholders, including District Councils, surrounding local authorities, bus forum groups and others which included:
	   - Age Concern
	   - Harrogate Physical and Sensory Improvement Coordinator
	   - Learning Disability Partnerships
	   - Physical and Sensory Impairment Group
	   - Older peoples forums (NYOP, NYFOP & Scarborough Forum for Older People)

2.2 What does the information tell you? Are there any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-	It is estimated that the proposal will affect approximately 280,000 passenger journeys each year. A total of 378 responses were received during and immediately after the consultation period, of which 8 were in the form of petitions totalling 1,946 signatures. Of the

	individual responses received (excluding petitions):
up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change? **Please include data and analysis as an appendix**	• Disagreed with the proposal: 299 • Agreed with the proposal: 9 • Did not state: 4 Reasons for disagreeing to the proposals included: • Access to leisure/tourism: 290 • Access to work: 166 • Access to shops: 124 • Access to health: 47 • Access to education: 31 In addition, 24 comments referred directly to issues concerning protected characteristic groups: • Affected on grounds of age (young/old): 22 • Affected on grounds of belief/religion: 1 • Affected on grounds of disability: 1 In the comments received from Members of Parliament, County Councillors, and District, Borough, Town and Parish Councils, a further 8 comments directly referred to issues concerning protected characteristic groups. See appendices 2, 3 and 4 of the <u>Proposed Reduction in Bus Subsidy report for detailed comments.</u>
2.3 Are there areas where we need more information? How could we get this information? What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?	The current consultation has been aimed at all residents of North Yorkshire; It is not expected that further information will be required.

Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What do you want to find out? Which existing mechanisms can you use to get this information? Please refer to the Community Engagement toolkit on the NYCC intranet	
2.4 How will you monitor progress on your policy/service, or take-up of your service? What monitoring techniques would be most affective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?	Correspondence will continue to be monitored after any decision is made.

3. Assessing the Impact Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.	
3.1 Has an adverse impact been identified for one or more groups? Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups? Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?	An adverse impact in terms of disadvantage has been identified for those people who do not have access to alternative transport, this is likely to pose a particular issue for the young and old and disabled people who are less likely to have access to private transport. The consultation also identified that there were also concerns regarding the perceived economic impact of particular areas, for example, withdrawing evening and weekend services to and from Whitby. It must be noted that this proposal does not mean that all evening and Sunday bus services will be withdrawn, a number of bus services, mainly in Scarborough, Harrogate and Selby will continue to be provided on a commercial basis. In addition it should also be noted that due to the rurality of the county there are many areas that already do not have regular bus services and rely on their own private or community transport to access essential services.
3.2 How could the policy be changed to remove the impact? Which options have been considered? What option has been chosen?	The current option has been chosen because it minimises the impact in comparison with the alternative withdrawal of daytime services. An assessment of the implications of retaining all evening and Sunday services by increasing fares has been undertaken. This indicates that fares would have to increase by £3 per journey with no reduction in trips for the services to be retained without subsidy. It is unlikely that people would continue to travel in the face of such increases. For example, the implications for service 93 have been assessed. The cost of the evening service between Whitby and Scarborough is £16,896 per annum, typically about 850 passenger journeys paying on average £1 (this includes concessionary passengers). In order for the service to be sustainable the fares paid would have to increase by £1.60 per passenger journey. On Sundays, the average fare per

	passenger journey is £1 and this would need to increase by £2.47 for the service to be retained on the basis of fares paid. It is important to explore every opportunity to minimise the impact and in order to achieve this we will continue discussions with bus operators and community transport providers to identify any opportunities to retain services after April 2011.
3.3 Can any adverse impact be justified? If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group? **Please seek legal advice on whether this can be justified.**	The proposed changes have been identified so as to maintain the integrity, wherever possible, of the Monday to Saturday day time network, and therefore preserve current conventional access to key services such as Education, Health, Food, and Employment. The Council recognises that valid concern were raised by the consultation but considers that the impact of the course of action proposed is less than available alternatives which would have affected the Monday to Saturday daytime network which provides essential access for as many residents as possible and increase the likelihood that some communities would be isolated.
3.4 Are you planning to consult people on the outcome of this impact assessment? When and how will you do this? How will you incorporate your findings into the policy?	The outcome of the public consultation will be published at the end of the decision making process. No specific consultation will be undertaken on this impact assessment.
3.5 How does the service/policy promote equality of opportunity and outcome? Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?	Whilst the proposed changes do not improve access to services, it aims to preserve key essential services wherever possible, whilst faced with a reduced and diminishing budget.

Action Plan					
What are you trying to change (outcome)?	**Action**	**Officer responsible**	**Deadline**	**Other plans this action is referenced in (e.g. Service Performance Plan, work plan)**	**Performance monitoring**
To minimise the impact of reducing funded public bus services	Explore every opportunity to minimise the impact and in order to achieve this we will continue discussions with bus operators and community transport providers to identify any opportunities to retain services after April 2011.	Chris Roberts – Team Leader Public Transport	Ongoing	N/A	N/A

Name of the Directorate and Service Area	BES – Integrated Transport Group
Name of the service/policy being assessed	Residential disabled parking bays policy

Is this the area being impact assessed a	**Policy & its implementation?**		**Service?**	
	Function	**x**	**Initiative?**	
	Project?		**Procedure & its implementation?**	

Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	**Existing service or a policy and its implementation?**	
	Proposed service or a policy and its implementation?	
	Change to an existing service or a policy and its implementation?	x
	Service or Policy carried out by an organisation on behalf of NYCC?	

How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Individual officer	
Names and roles of people carrying out the Impact Assessment		
Lead Officer and contact details	Tom Bryant, tom.bryant@northyorks.gov.uk, 01609 798824	
Date EIA started	25 July 2011	
Date EIA Completed		
Sign off by Service Head/ Business Unit Head		
Sign off by Assistant Director (or equivalent)		
Date of Publication of EIA		

Monitoring and review process for EIA	

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

1.1 Describe the service/policy	**Note this EIA was prepared ahead of the decision by BES Executive Members on 18 August 2011.**
What does the service/policy do and how? How would you describe the policy to someone who knows very little about Council Services?	Disabled parking bays can be introduced to provide on street parking for blue badge holders in residential areas. Such bays should only be considered when the individual does not have access to off street parking such as a drive or garage, but are not person specific and can be used by any blue badge holder.
If there is a proposal to change the service or policy, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change?	Disabled parking bays require a Traffic Regulation Order (TRO) to be in place for them to be enforceable. Historically some advisory residential disabled parking bays with no TRO have been introduced. However, the Traffic Signs Regulations and General Directions (TSRGD) does not permit the use of disabled parking bay road markings without a TRO and such markings cannot be legally enforced.
Who does it benefit? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? identify those protected characteristics for which this service is likely to have an impact (positive or negative)	There is inconsistency across the seven Highways Area Offices in terms of the provision of residential disabled parking bays and a clear need for a consistent policy.
Are there any other policies or services which might be linked to this one? Have you reviewed the EIA for these policies/services? What do they tell you about the potential impact?	The Guidance on Local Transport Plans published in 2009 states that local transport authorities now have a specific duty to "have regard to the needs of disabled people".

The Disability Discrimination Act 2005 introduced obligations on public authorities, including local transport authorities, to involve and consult disabled people in the development and implementation of policies and strategies. In preparing the Local Transport Plan (LTP3) the Physical and Sensory Impairment Partnership Board was consulted. |
| How will the policy be put into practice? Who is responsible for it? | The Physical and Sensory Impairment Partnership Board has developed an Equal Lives Strategy which has a focus on transport and a specific objective that "Disabled people have enough accessible 'on street' (NYCC) and 'off-street' (District Council) dedicated parking that is agreed in consultation with locality based user led involvement". |

The report to BES Executive Members on the 18 August 2011 presents three options:
- Do not provide residential disabled parking bays
- Continue to provide advisory residential disabled parking bays
- Only provide enforceable residential disabled parking supported by a TRO

Should Members decide to continue providing residential disabled parking bays they must also consider three funding options:
- Fully funded by the County Council
- Fully funded by the applicant
- Contribution by the applicant

Members agreed to only provide enforceable residential disabled parking supported by a TRO and that these should be fully funded by the County Council (18.8.11)

1.2 How do people use the policy/service?	In the past Highways have provided advisory residential disabled parking bays, but a charge has never been adopted. Should a decision be taken to only provide enforceable bays supported by a TRO then the resource implications of undertaking the works are significantly higher as set out in the table below.

How is the policy/service delivered? How do people find out about the policy/service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service/policy is welcoming to all groups within the community?

Does the policy/service support customers to access other services? Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy?

How do you ensure that staff/volunteers delivering the

Initial assessment of application	£150
Scheme development / consultation	£100
Legal costs for processing traffic regulation order	£150
Public notice in newspaper (x2)	£500
Works cost (signing and lining)	£200
Annual confirmation that bay is still required (x2)	£50
Renewal of markings	£100
Removal of markings	£100
Dealing with objections (report to Area Committee)	£200

service follow the Council's equality policies? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements?	**Total** **£1,350 without objections** **£1,550 with objections** **£1,450 (average)**

The different Area Offices have responded to requests for residential disabled parking bays in different ways. There is a need to standardise the application process which should include an annual confirmation that the applicant is still resident at the property and that the bay is still required. Where a bay is no longer required it will be removed and this has been factored into the cost of the works.

The suggested eligibility criteria for residential disabled parking bays are set out below. There are no significant changes proposed, but there is a need to ensure they are consistently applied. The criteria are still under review pending discussions with Health and Adult Services.

The specific requirements for eligibility are:

- The applicant must hold a valid Blue Badge
- The address of the applicant matches the records held by the authority that issued the Blue Badge.
- The vehicle which is to be parked in the parking bay must be owned or operated by a Blue Badge holder in the applicant's household [or a registered carer to the applicant residing at the residence].
- It is considered difficult for the applicant to park their vehicle on the public highway in close proximity to the home
- There should be no suitable off-street parking such as a driveway or garage

The specific highway conditions are:

	- There are no waiting restrictions or bus stops fronting the property - Access or visibility would **not** be impaired by the provision of a Disabled Parking Bay. - the road should be wide enough to allow the free flow of traffic, including emergency vehicles, when a vehicle is parked in the bay - There are no road humps or other traffic calming features directly outside the property. - The requested location of the parking bay is not listed in the Highway Code as a place where vehicles cannot be parked. - The road has a speed limit of 30mph or less - The current number of Disabled Parking Bays installed is lower than 10% of the total number of residential properties or 10% of the number of parking spaces in the street, whichever is higher [ie 40 houses = maximum number of 4 Disabled Bays in that street, or 50 spaces = 5 Disabled Bays] NOTE: If one of more of the above criteria is **NOT** met, the application may be denied. As Highway Authority the County Council has the powers to remove the bay in future if any of the eligibility criteria above are not satisfied.

2. Understanding the Impact (using both qualitative and quantitative data)

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

2.1 What information do you use to make sure the service meets the needs of all customers? What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?	On an annual basis it is estimated that we receive approximately 30-40 requests for residential disabled parking bays per year across the county. Not all requests are suitable in highway terms and therefore would not be progressed. It is difficult to quantify exactly how many of these requests are not progressed, but it is estimated to be somewhere in the region of a third. An assessment of the number of advisory bays and enforceable bays already in place has also been undertaken. There is clearly an impact when an application is rejected, but Highways do not follow up

|	
What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How has this changed the plans for the policy/service?	with the applicant to understand the extent of this impact. However, If the application does not meet the requirements in terms of the highway then the implementation of a bay may present a safety hazard to other road users.
2.2 What does the information tell you? Are there any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change? **Please include data and analysis as an appendix**	It tells us about the current level of demand, but there is a risk that demand will increase once a new policy is publicised.
2.3 Are there areas where we need more information? How could we get this information? What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this? Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people?	No. For comparative purposes, a significant number of authorities provide enforceable bays at no cost. There are also a few examples of authorities who will consider applications, but only if external funding has been sourced, and authorities who do not provide disabled parking bays outside individual residences because of the resource implications. Around a third of all disabled adults aged 25 to retirement are living in low-income households. This is twice the rate of that for non-disabled adults. The main reason why so many disabled people are in low-income households is their high levels of worklessness (source: 'The Poverty Site' statistics on poverty and social exclusion). There is therefore some doubt about the ability of the whole target group to meet the full fee.

What do you want to find out? Which existing mechanisms can you use to get this information? Please refer to the Community Engagement toolkit on the NYCC intranet	
2.4 How will you monitor progress on your policy/service, or take-up of your service? What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?	Area Offices monitor requests so it will be possible to periodically review demand and customer satisfaction.
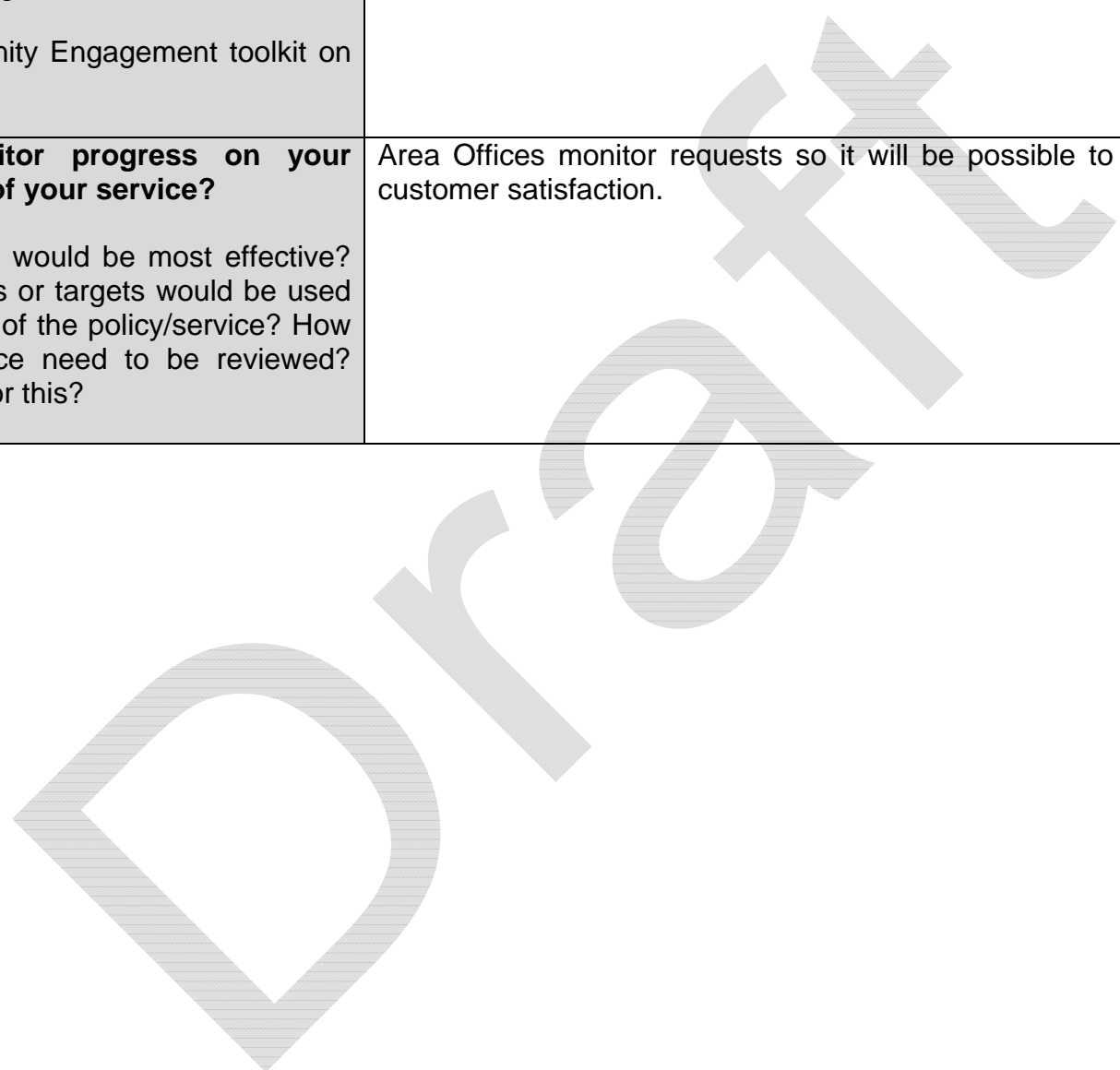
3. Assessing the Impact

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups? Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups? Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?	Local transport authorities now have a specific duty to "have regard to the needs of disabled people". The County Council has an adopted standard to provide adequate disabled parking in town centres and community facilities. The option of not providing residential disabled parking bays would appear to go against the duty. Attempting to recover a fee from an individual for residential disabled parking bays is likely to have a disproportionately negative effect on disabled people who are dependant on a car. It is not always the driver who is disabled and the impact may be felt by other family members including children. Disabled people are often within lower income groups and are therefore less able to pay for council services. There will be instances where disabled people who need a parking bay cannot afford one, which will impact on their quality of life. Based on the principle of cost recovery the fee charged to the individual would be £1,450. This is considered to be very high and to put it into perspective we currently charge £15 - £17 for an annual residents parking permit. The fee for a residents parking permit is not currently based on the principle of cost recovery, but is being reviewed as part of the Civil Parking Enforcement project. Introducing such a high fee for a bay is likely to deter applications even when there is an identified need. Individuals would also be paying for a bay that is not for their sole use.
3.2 How could the policy be changed to remove the impact? Which options have been considered? What option has been chosen?	There is the option of securing a contribution from the applicant towards the overall cost. Depending on the level of contribution sought, the fee level could still be significant and there will be a need for the County Council to fund the remainder of the works cost. Should Highways fund the works it would need to come out of the Area signing and lining budgets, which would impact on the potential to deliver other works.

	Health and Adult Services have confirmed that there are no current funding streams available to fund disabled parking bays. The works could potentially be funded through the Highways Area Office's Signing and Lining budgets. These budgets are already under significant pressure and it would impact on the potential to deliver other works which may be safety based. There is also the option of approaching Health and Adult Services to see if they could establish a budget for this service. A further option would be to establish a joint funding mechanism between BES and HAS. An annual budget of £30K is considered sufficient to deal with the current level of demand, but there would need to be an agreed process to deal with requests. However, there is a risk that demand will increase and once the annual budget had been used up requests would need to roll-forward to the next financial year. This could present issues in terms of continuity of service delivery.
3.3 Can any adverse impact be justified? If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group? **Please seek legal advice on whether this can be justified.**	This is a decision for Executive Members on the 18 August 2011.
3.4 Are you planning to consult people on the outcome of this impact assessment? When and how will you do this? How will you incorporate your findings into the policy?	Whilst the Physical and Sensory Impairment Partnership Board were consulted during the preparation of the Local Transport Plan (LTP3) they have not been consulted specifically on the provision of residential disabled parking bays. Given the obligations in the Disability Discrimination Act 2005 it would seem appropriate to consult with the Physical and Sensory Impairment Partnership Board on the new policy ahead of implementation and Members will be asked if they support this approach. The Board has been consulted and supported the policy and eligibility

	criteria (1.09.11)
3.5 How does the service/policy promote equality of opportunity and outcome? Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?	The continued provision of residential disabled parking bays would enhance accessibility. As described earlier there is an equality impact with seeking a fee from an individual to fund the work and this is being presented to Exec Members for consideration on the 18 August 2011.
**Don't forget to transfer any issues you have identified in this section to the Equality Action Plan**

Action Plan					
What are you trying to change (outcome)?	**Action**	**Officer responsible**	**Deadline**	**Other plans this action is referenced in (e.g. Service Performance Plan, work plan)**	**Performance monitoring**
Implementation of consistent policy that complies with legislation.	Prepare report for consideration by BES Exec Members	Barrie Mason / Tom Bryant	Meeting 18 August 2011	n/a	n/a

EQUALITY IMPACT ASSESSMENT

Name of the Directorate	CYPS, Children's Social Care : Adoption Service
Name of the procedure being assessed	Adoption Procedures: Prospective Adopter Policies (Section 6.c)

Nature of the area being impact assessed	**Policy & its implementation?**	x	**Service?**	
	Function?		**Initiative?**	
	Project?		**Procedure & its implementation? x**	
Is this an Impact Assessment for a :-	**Existing policy and its implementation?**			
	Proposed policy and its implementation?			
	Change to an existing policy and its implementation? X			
	Policy carried out on behalf of the council by another organisation?			

How will you undertake the EIA? e.g., focus group	Focus Group held on 19th February 2008 : Dave Yellen (Coordinator), Nic Haughton (Adoption Manager), Rob Ingram (Adoption Social Worker), Sue Wick (Fostering Social Worker), Liz Carr (Strategy and Performance Officer).
Other officers involved in the assessment	Julie Ross, Complaints Manager.
Lead Officer and contact details	Nic Haughton, Adoption Manager, 4 Stockwell Lane, Knaresborough.
Date EIA started	19th February 2008
Date EIA completed	26TH March 2008 at CSC Equalities Group
Sign off by Service Head/ Business Unit Head	

Presented at Children's Social Care Equalities Group/ Directorate Equality and Diversity Working Group	26TH March 2008 at CSC Equalities Group
Date of adoption and publication of EIA	
Monitoring and review process for EIA	

			1. Operating Context	Are issues around impacts (positive or negative) raised for any of these groups?						
		Social Class		Disability	Race	Gender	Age	Sexuality	Religion	Social Class
The Adoption Service exists to provide for the safety and welfare of children who need alternative, permanent families. the priority therefore is to recruit, prepare and assess prospective adopters who have the capacity to meet the wide variety of needs of these children. The policies describe the baseline criteria on which the Adoption Service will consider applications. As in all human situations, there must be some room for flexibility and the service works to apply these criteria, and the principles behind them, in a way which holds true to the responsibilities to children and which is respectful to the aspirations of prospective adopters. The features below reflect some of the issues the policies address: o Smoking o Discipline o Identity o Contact o Working Parents o Health and capacity to parent the child				x	x	x	x	x	x	

	1. Operating Context	Are issues around impacts (positive or negative) raised for any of these groups?						
		Disability	Race	Gender	Age	Sexuality	Religion	Social Class
	o Age Gap o Contraception The procedure is directly relevant to the target groups of equality and diversity and explicitly addresses a number of issues that impact upon equalities. The procedure is public facing in that it needs to be transparent and understood by those considering adopting a child. Application of the policies can have far reaching consequences in the lives of children and those seeking to adopt. It is crucial that the policies work well, taking proper account of the prospective adopters ethnicity, sexuality, race, gender, culture, disability and age. The policies are linked to the "Who is able to apply to adopt in NYCC" in the initial Visit Pack. This is received by those making an initial enquiry about adoption and are sent out from the NYCC Call Centre.							
Buildings / location	Individual information sessions are generally held in the home of those enquiring about adoption. Preparation courses are then held in venues around the county, with those attending asked for their access needs in the planning stages of the course. The service recognises the importance of preparation meetings being held in appropriate venues and has a budget to hire suitable venues.	x	x	x	x	x	x	
Information and Communication	The Adoption Service employs a Marketing Manager. A marketing strategy has been developed to attract prospective adopters from all sections of the community and promotes the image in all materials that the service is inclusive.							

		1. Operating Context	Are issues around impacts (positive or negative) raised for any of these groups?						
			Disability	Race	Gender	Age	Sexuality	Religion	Social Class
		All materials can be translated into another format within 5 days on request and are easily downloaded from the NYCC website. Materials are also on a regional website, geared to recruitment of prospective adopters. The Marketing Manager has been proactive in taking messages out to areas of the community such as churches and receives feedback from a variety of sources about the impact of the strategy.							
Service/ policy delivery		The EIA allowed the policies to be reviewed again and a small number of changes were made to clarify meaning. There is a raft of support to those seeking to adopt, such as financial support/ adoption leave. Arrangements exist where enquiries are from council employees so they can be dealt with without any conflict of interest. This will be reviewed again to remove any disadvantage this arrangement can make for some. Adoption services are also delivered through the Consortium - a body that has clear equality Policies and procedures. As the BME population is small in North Yorkshire and the Consortium covers the metropolitan areas of Yorkshire and Humberside, North Yorkshire Will refer children to this organisation as appropriate. North Yorkshire also refers all enquiries for inter country adoption to the Doncaster Adoption And Family Welfare Society – a voluntary organisation with this specialism. This organisation Requires prospective adopters to attend courses in Doncaster which has sparked debate and complaint that this disadvantages those living some distance away. This is accepted but as the other specialist agency is in Newcastle, this problem with distance for the time being							

| | | 1. Operating Context | Are issues around impacts (positive or negative) raised for any of these groups? | | | | | | |
			Disability	Race	Gender	Age	Sexuality	Religion	Social Class
	remains.								
Equality Gaps									

2. Consultation and User Involvement

What is the communication strategy to advertise and promote the procedure?	The marketing strategy is very clear and well developed. It has strong branding " Get On Board Adoption". There is a presence for the agency on the regional consortium website, local press coverage, contribution via BAAF to national drives and campaigns, local events, leaflets.
How and when you will consult service users?	All initial visits ask for feedback and this is sought where people withdraw or where they Are not suitable. This highlights problems as they arise but this feedback needs to be collated routinely. An adoption support steering group is in the process of being developed. This will include

2. Consultation and User Involvement

	Adopters and prospective adopters and will be used as a forum to develop services. A children's forum is also in development.
Will you use existing consultation mechanisms?	No. This is a specialised, targeted service. The systems in development will deliver Focused feed back and will address equality and diversity issues in a robust way.
Please summarise the main findings from the consultation?	The discussion in the focus group recognised the potential for the steering group to Give sound direction and advice to the service. It was recognised however that there is No feedback specific to some groups where there have been equality issues eg, Gay and lesbian prospective adopters, disabled adopters, adopters who are Travellers. Work is taking place around the country and this can be researched to ensure North Yorkshire is hearing messages from these other initiatives.

3. Data and Monitoring

What data do we use now? Is it broken down by equality and diversity categories?	Equalities profiles are available for all requests to adopt and this is tracked through process. Numbers are readily available through SWIFT and reported on.

3. Data and Monitoring

	.
Are there areas where we need more information? How could we get this information?	
What analysis have you carried out on the data?	Numbers are very small – only between 25 to 30 children are adopted through the agency per year.
What does the analysis of the data show?	Analysis is limited by the small numbers of children involved in adoption. Each child is placed very carefully, based on their individual needs and with equalities Issues for the children to the fore. It is noted that some of the national trends are reflected in the county. For example fewer children are being placed for adoption and numbers are reducing. There is an increase nationally in same sex couples adopting children and this is reflected in North Yorkshire. It is anticipated that the increasing use of Special Guardianship as a permanency option for children will reflect on adoption figures.
What are the mechanisms for the ongoing monitoring of progress on your policy .	

4. Best Practice

Is there a Champion at a senior level for this policy / function?	Nic Haughton, Adoption Manager and Annie Shaw, General Manager. Sue Wick - Representative on the CSC Equalities Group For Adoption and Fostering.
Are staff training needs identified	Training was delivered to members of the Adoption Panel in 2007. Staff have completed the Foundation Training – Removing the Barriers. Equalities and Diversity in Social Care is widely distributed. Training needs identified in staff appraisal.

5. Action Planning

Has an adverse impact been identified for one or more groups?	No. This procedure has potential to adversely impact on several groups but steps have been taken to avoid/negate this. It is important that consideration is now given to the needs of Travellers, disabled children, parents.

<table>
<tr><td colspan="2"><h1>5. Action Planning</h1></td></tr>
<tr><td>Can any adverse impact be justified?</td><td>No.</td></tr>
<tr><td>Are equality and diversity principles promoted and mainstreamed?</td><td>Yes.</td></tr>
<tr><td>Are there any other equality issues that haven't been covered through this impact assessment?</td><td>No</td></tr>
</table>

Issue What are the key equality issues identified from the assessment and consultation and data analysis phases?	Objective What outcome would you want to achieve? Is it achievable?	Action What improvements could you make to achieve this outcome?	Timescale & Lead Officer
Changes to the procedure	Small changes are needed to the procedure to update language and remove ambiguity.	Changes undertaken – March 2008	Nic Haughton
There are steps in the procedure to promote fairness to council	Review of procedure for council employees.	Nic Haughton to undertake	Nic Haughton: within three

Issue What are the key equality issues identified from the assessment and consultation and data analysis phases?	Objective What outcome would you want to achieve? Is it achievable?	Action What improvements could you make to achieve this outcome?	Timescale & Lead Officer
employees who come forward to adopt a child. This needs to be reviewed to ensure council staff do not experience any disadvantage in this process.			months
Initial visit feedback is sought and responded to on a case by case basis: Need to collate this feedback across the county	To collate feedback from Initial Visits		Nic Haughton

6. Publicity and Communication

How will the results be published?	NYCC Website

Equality Impact Assessment Tool-kit

"All you need to know about **how** to undertake an Equality Impact Assessment of your service – and **why** it's important"

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔

Status
Complete 27-Jan-2010

Contents

Section One: Introduction to Equality Impact Assessments

Section Two: Equality Impact Assessment Templates and Guidance

Section One: Introduction to Equality Impact Assessment

This toolkit is designed to help you conduct Equality Impact Assessments. The County Council is committed to assessing our performance on equality and diversity to help improve the quality of our services and employment.

> **When the toolkit refers to a service/policy, it is referring to whatever is being equality impact assessed, for example: a service that is provided, a policy and its implementation, a function that is carried out, an initiative or project, or a procedure and its implementation.**

Section one of the toolkit is an introduction to equality impact assessments.

Section two of the toolkit contains the Equality Impact Assessment templates and step by step guidance to take you through the process and enable you to record your decisions.

Why do we do Equality Impact Assessments?

An Equality Impact Assessment is a way of finding out whether services and policies affect different groups of people in different ways. The County Council's Equality Policy focuses on six equality and diversity groups; they are gender, disability, race, age, sexuality and faith.

We undertake Equality Impact Assessments because: -

- **We want to!** An Equality Impact Assessment is a useful business tool for service improvement and ensuring that all services and policies achieve their intended outcomes. It is an essential part of achieving effective and people focused services and policies which meet needs in a fair and equitable way, and provide good value for money.

- **We need to!** If we are to properly service our local community, and ensure that services are genuinely accessible to all. Equality Impact Assessments actively support the practical delivery of our equality policies, help us to meet the Equality Standard for Local Government and contribute towards our Comprehensive Performance Assessment and Joint Area Review Assessments, other inspection regimes and partnership arrangements.

- **We have to!** All public bodies must undertake impact assessments of their services, policies and functions as set out in the equality legislation. It is also required as part of the business planning and review process.

When do you need to undertake an Equality Impact Assessment?

Equality Impact Assessments should be integrated into the mainstream process of Service planning and review; doing this will help to mainstream equality and diversity as a natural part of everything we do; save time and effort; and avoid duplication.

Equality Impact Assessments must be undertaken when: -

- You are developing a new service or policy
- You are reviewing a existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried on behalf of the council by another organisation
- Your service is re-organised

When you first carry out an impact assessment you should set a date for it to be reviewed – the frequency of that depends on what it is that is being impact assessed. However, impact assessments should ideally be reviewed at least every three years to take into account updated monitoring and consultation information. The list of service unit functions should be reviewed at least annually to make sure that updates or changes are included.

Equality Impact Assessments are also linked to: -

- Preparation for the Comprehensive Performance Assessment
- Self assessment prior to external inspection e.g. OFSTED, ALI, LSC, SSI
- Best Value Reviews
- Investors in People assessments
- Drafting the County Council's Community Plan
- Welfare to Work Joint Investment Plan
- Identifying and managing risk

How to conduct an Equality Impact Assessment

There are 3 key steps to impact assessing: -

1. **Prioritising** occurs at a service unit level. Services and policies are identified, listed, and prioritised according to their relevance to equality and diversity issues.

Step one produces a prioritised list of the service unit's services/policies with timescales for completion of individual impact assessments for each area. Each impact assessment will need to complete Step 2 and 3 which are: -

2. **Planning** the impact assessment, including what, how, by whom, and by when it will be impact assessed.
3. **Impact Assessing** the service/policy. This examines the operating context; data and monitoring; consultation and user involvement; best practice; action planning; and publication and communication.

The templates for Step 1, 2 and 3 of the impact assessment process are in Section Two of this toolkit. There is guidance accompanying each of these templates to help you. The flow chart on the next page illustrates the impact assessment process.

> **As a County Council we are working towards publishing all of our impact assessments on the NYCC internet in line with statutory requirements. When carrying out your impact assessment please be aware that it will become a public document.**
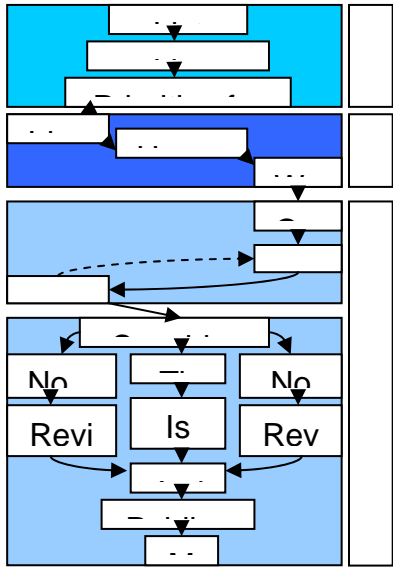
Who can help with information and support?

Advice and Support

Each directorate has at least two representatives on the Corporate Equality and Diversity Working Group. These representatives can advise and support you in completing your impact assessments.

Representative	Telephone	Email
Adult and Community Services		
Shanna Carrell - Equality and Engagement Officer	01609 53 2992	Shanna.carrell@northyorks.gov.uk
Julie Blaisdale - Assistant Director, Library and Community Services	01609 53 3494	Julie.blaisdale@northyorks.gov.uk
Business and Environmental Services		
Emma Hubert - Project Officer	01609 53 2494	Emma.hubert@northyorks.gov.uk
Tracy Harrison - Head of Support Services	01609 53 3125	Tracy.harrison@northyorks.gov.uk
Chief Executive's Group		
Pammi Sahota - Equality and Diversity Manager	01609 53 3210	Pammi.sahota@northyorks.gov.uk
Trudy Newell - Workforce Planning & Performance Manager	01609 53 2592	Trudy.newell@northyorks.gov.uk
Colin Parkin - Head of Workforce Planning & Performance	01609 53 2115	Colin.parkin@northyorks.gov.uk
Hugh Williamson - Head of Scrutiny & Corporate Performance	01609 53 5352	Hugh.williamson@northyorks.gov.uk
Children and Young People's Service		
John Bell - Principal Adviser, Quality and Improvement	01609 53 3076	John.bell@northyorks.gov.uk
Diane McConnell - Senior Adviser, Inclusion	01609 53 2654	Diane.McConnell@northyorks.gov.uk
Finance and Central Services		
Katy Meban - Business Improvement Officer	01609 53 3235	Katy.meban@northyorks.gov.uk
Judith Johnson - Assistant Director, Facilities Management	01609 53 2105	Judith.johnson@northyorks.gov.uk

Resources and Information

Useful resources include: -

- Corporate Equality Plan and Action Plan
- Disability Equality Scheme
- Gender Equality Scheme
- Equality Policy Statement
- Legal and regulatory framework for equality
- Guidance on Social Model of Disability
- Consultation Toolkit
- Consultation Database
- Write stuff
- Social Inclusion strategy
- Diversity Guidance
- Direct and Indirect discrimination definition
- Data protection issues for collecting and using data

There is a large amount of general information on equality and diversity issues available on the internet. Useful websites include:

Commission for Racial Equality (CRE)	www.cre.org.uk
Disability Rights Commission (DRC)	www.drc.org.uk
Equal Opportunities Commission (EOC)	www.eoc.org.uk
Stonewall (lesbian, gay men and bisexual issues)	www.stonewall.org.uk
Age positive	www.agepositive.gov.uk

Step 1: Prioritising

Step 1 occurs prior to the start of an impact assessment; it is completed at a service unit level and is the means through which services units prioritise their functions for impact assessment. Most people completing impact assessments will not need to complete Template 1 and will start with planning their impact assessment at Step 2.

A Service Unit may have responsibility for a number of different functions. These will be managed through a series of sub-functions including policies, procedures, projects, initiatives and services. All functions and sub-functions should be listed in template 1. This list must then be prioritised to determine a timetable for completing your service unit impact assessments.

The list should be prioritised based on the relevance of the service or policy to the equality and diversity issues of race, gender, disability, age, sexual orientation and/ or faith. You should outline any evidence that you have for your assessment of relevance, e.g. legislation, anecdotal or statistical evidence. You may also want to consider what strategies/ plans/ policies have the most influence over how your service works and what you do on a day to day basis. It is appreciated that making judgements on relevance at this initial stage can be difficult and is often subjective due to limited data analysis but this process is used to aid the prioritisation of impact assessment and in some cases will only be a best guess of relevance using the information that you have already, such as legislation, national guidance and research, anecdotal evidence, complaints or the concerns of those involved in delivering the service.

You will now have a prioritised list of the Service Unit functions, policies, services etc. The total programme of impact assessments can be carried out over a period of time. This timetable for completion can be built into the Service Performance Plan, taking into account, and linking with such things as consultations and reviews e.g. BPR reviews. Where possible high priorities should be impact assessed within 12 months.

This prioritised list should be comprehensive, and will only need to be completed once for each service. However, it is important that it is reviewed to ensure that new policies, functions or services are added to the list and prioritised accordingly.

Template 1

Function	Sub-Function	Relevance to equality & diversity	Evidence of relevance	Priority	Timescale
	(Function, Policy, Procedure, Project, Initiative, Service)	(High, Medium, Low)	(legislation, anecdotal/ statistical evidence etc)	(High = 1, Low =3)	(Date for completion)
Accounts Payable	Payment Production	Low		3	
Accounts Payable	Enquiry Service	Low		3	
Accounts Payable	Bacs Transmissions	Low		3	
Income Processing	General	Low		3	
Income Processing	Accounts Receivable	Low		3	
Office Services	Post & Despatch	Low		3	
Office Services	Stationery, Equipment and Services	Low		3	
Personnel		Low		3	
Travel & Subsistence –staff & members		Low		3	

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Step 2: Planning

Step 2 should be completed for every impact assessment undertaken. It asks basic information about what is being equality impact assessed, how the impact assessment is to be completed, when it will be completed, and by whom. It also asks you to identify how the completed impact assessment will be signed off, monitored and reviewed; this is a very important part of your impact assessment planning process.

You should start planning your impact assessment early, this will allow you to use all the time available and to fully integrate your Equality Impact Assessment so that you do not, for example, undertake consultation on your policy and then realise you have failed to consult any of the equality target groups. Plan your impact assessment at the start of the process of mapping out a policy, at the start of the year when you are writing your service performance plan, when you know your service review is scheduled, at the start of developing your organisational change proposals and so on.

It is suggested that impact assessments are completed as a working group or project team. This will help you develop your ideas; bring in experiences at different levels across the team and means that tasks can be shared. Try to get a balance of skills and experience as well as mix staff at different levels- for example you could include some 'front line staff' (who deal with our customers face to face every day) to get their perspective. The impact assessment team needs enough local knowledge of the service to make valid judgements, but needs to be as objective as possible. For some assessments, particularly smaller ones, it may be more appropriate to have a "virtual team" with one or two people taking responsibility for the review but drawing on the knowledge and expertise of others as and when necessary.

Name of the Directorate and Service Area	Finance & Central Services – Exchequer Services				
Name of the service/ policy being assessed	Credit Control				
Is this the area being impact assessed a	Policy & its implementation?		Service?		Y
	Function?		Initiative?		
	Project?		Procedure & its implementation?		
Is this an Equality Impact Assessment for a (Note: The Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?				Y
	Proposed service or a policy and its implementation?				
	Change to an existing service or a policy and its implementation?				
	Service or Policy carried out by an organisation on behalf of NYCC?				
How will you undertake the EIA? E.g. team meetings, working party, project team, individual officer	Individual Officer				
Names and roles of people carrying out the Impact Assessment	D I Wild – Exchequer Services Manager				
Other officers involved in the assessment E.g. taking part in peer review, challenge, quality assurance	None				
Lead Officer and contact details	D I Wild				
Date EIA started	June 2005				
Date EIA completed	Jan 2010				

Sign off by Service Head/ Business Unit Head	
Presented at Directorate Equality and Diversity Working Group	
Date and place of publication of EIA	
Monitoring and review process for EIA	Last update July 2010

Step 3: Impact Assessing

Step 3 looks in more detail at the policy / service being impact assessed and guides you through the impact assessment.

> **Where template 3 refers to a service / policy, it is referring to whatever is being equality impact assessed for example: a policy and its implementation, a service that is provided, a function that is carried out, an initiative or project, or a procedure and its implementation.**

There are six key areas the impact assessment addresses, they are: -
1. Operating context
2. Data and monitoring
3. Consultation and user involvement
4. Best Practice
5. Action Planning
6. Publication and Communication

You need to answer each question in bold print; you should try to be as thorough as you can in your answers. The prompt questions underneath will help you to think through the information that your answer should include. For each of the questions in bold you need to consider the issues, both positive and negative, that are raised for each of target groups: Disability, Age, Sexuality, Religion/ Faith, Race and Gender. You should provide evidence that you have considered the question and issues for each of these target groups**.**

If you feel that the question is not applicable to the service/ policy being impact assessed, you need to briefly explain why it is not applicable.   A yes or no answer is not sufficient. If you need more information this may need to be included as an action in your action plan.

The detail given in your answers may vary from question to question and will depend on the policy/ service being assessed. There is some flexibility in the depth of detail which is needed for each of the bold questions dependent upon the proportion and relevance to equality issues of the area which you are impact assessing. If you are impact assessing a policy or service which has a low relevance to equality and diversity issues, and could adversely affect few people on the basis of equality and diversity, it may be appropriate to take a 'light touch' approach to completing your impact assessment. However, if the area you are assessing has a high relevance to equality and diversity issues and affects a large number of people on the basis of equality and diversity, it is important that you complete the impact assessment in depth and robustly. If you are unsure how this applies for the policy/ service you are impact assessing, you may want to contact your directorate equality and diversity representative for advice (see page 7).

If you need support in completing your impact assessment, don't hesitate in asking for it. You can discuss your impact assessment with your Directorate equality and diversity representative (see page 7). They will not do the impact assessment for you, but they can help

you get started by running a kick start session for you, give you examples of completed impact assessments, provide you with information and support and give you feedback on your impact assessment as it develops.

You will need to provide evidence to support your impact assessment. A broad interpretation of evidence should be taken, to include as well as evidence derived from qualitative or quantitative analysis. Sources of evidence may include: -

- Statistics including census data; labour force statistics; education; health
- Employment data including recruitment; workforce; training; pay audit; promotions; exit interview feedback; discipline and grievance etc
- Index of deprivation
- Voluntary/ charity organisations
- Feedback from staff network/support groups
- Trade unions
- Disability organisations
- Staff and/or customer surveys
- Contractor feedback

- Monitoring data on customers and/or staff (complaints/ commendations)
- Audits (internal diversity audit, external assessment feedback)
- Local action groups
- Anecdotal information
- Neighbourhood partnerships
- User feedback
- Partners
- Community forums
- Faith groups

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

1.1 Describe the service / policy What does the service / policy do and how? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council services? Does it explicitly address equality and diversity issues? Is the policy relevant to equality and diversity target groups and the Council's duty to eliminate unlawful discrimination and promote	Exchequer Services provides a debt recovery service, known as "Credit Control" for the County Council to obtain payment for invoices raised on the Accounts Receivable (AR) system. Invoices are raised by the Directorates themselves with the majority (80%) generated by Adult & Community Services (A&CS). These range from A&CS fees and charges for the provision of Home, Day or Residential care, transport and Meals on Wheels charges to items such as school transport provided by the Children & Young Peoples Services, Rents, Legal fees, Pay & Pension recoveries in Finance & Central Services and damage repairs in Business & Environmental Services Recipients of high value invoices may receive a courtesy call after 7 days; primarily to determine if there are any problems with the debt but

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

equality? Does the policy, plan or service reflect relevant legal frameworks (including equality legislation) and national and local performance targets? Does the service / policy adhere to the principles of the social model of disability? Is it a public facing service or does it mainly deal with internal customers? Are there any other policies or services which might be linked to this one? Are they being impact assessed? How will the policy be put into practice? Who is responsible for it?	also to act as an initial reminder. There are no fixed rules on amounts or the type of debtor who will be contacted but reliance instead is put on the experience of the collector. The recovery process firstly involves the issue of reminders, then follow up reminders and, at 44 days, telephone calls. At the 44 day stage there will be consultation with the Directorate's raising section to determine whether there are any specific circumstances surrounding the debt, the Exchequer Services enforcement officer and, where necessary, legal services on the classification of a debt. Eventually the process can lead to the use of bailiffs and/or legal proceedings in the pursuit of those debts. Where necessary, tracing agents are employed to locate debtors who cannot otherwise be contacted. The credit control team provides instruction and training for staff throughout the County Council in the setting up debtor accounts and for the raising of invoices on the Accounts Receivable system. All Collectors undertake a Customer Care course, which provides guidance on dealing with individuals in what can be difficult or sensitive situations, but the main asset in the team is the considerable experience of the Credit Control staff. This can extend to collectors negotiating a payment plan, usually by instalments, and issuing a customised bank paying-in book. Most debtors will be external to the County Council and will include both public and private organisations as well as individual members of the general public.
1.2 Is the policy/ service you are impact assessing physically accessible? Is the building accessible? Is it in the right location? Is it welcoming and appropriate for its function and needs of the customer? Are the opening times accessible? Have you	The service is based at County Hall, Northallerton, the Headquarters for North Yorkshire County Council. The main entrance to the main building has ramp access for wheelchairs, prams and push chairs leading to a reception desk. Although most queries are dealt with by phone, e-mail, Fax and post, enquiries can also be made in person at the reception desk where a member of staff will be called to deal with it either on the spot or to take details. A dedicated single telephone number, linked to all the

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

carried out an access audit? Do you provide specialist equipment to help people access your service if it is needed?	Credit Control collection staff to ensure an immediate contact facility, is given on the reverse of all invoices issued. There are lifts available which provide access to the first floor of the building and to most offices and meeting rooms on the Campus. A meeting room is available with Audio Loop facilities and links to NYCC offices in other areas of North Yorkshire can be made using Video conferencing. County Hall offices and reception are open from 8.30 in the morning until 5.00 pm Monday to Thursday and 4.30 pm on Friday and operate a telephone system which allows for messages to be left on "Voicemail" outside office hours.
1.3 Is the information and communication provided accessible to everyone? Is information and correspondence accessible and does it use appropriate language? Do your documents include an Accessibility Statement and will you provide information in other formats on request? Remember to think about the needs of people who are disabled or people whose first language is not English. Can customers contact your service easily and accessibly in a range of different ways? Do people know how to contact you? Does information avoid the use of stereotypical language, or negative images of different groups of people? Does the information adhere to the principles of the social model of disability? Do you consider customer needs when arranging the timing and venues of meetings or events?	Information concerning debts is provided by e-mail, fax, phone or post and can be received by the same methods. There is very limited physical contact with the general public so any correspondence provides contact detail, utilising Fax, e-mail, telephone numbers and the postal service. All "customers" of the service are generally treated the same in the first instance when invoices are issued by post and follow up reminders sent at fixed intervals. At this stage debtors are identified only by numbers. Where further action is necessary then background information is obtained either directly from the invoice raising section or, in the case of Adult & Community Services, using an access restricted client database. This latter facility can provide details of contacts in cases where the client's finances are administered by a relative or guardian. If required, facilities are available for providing detailed invoices in larger type and the County Council is registered with "Language Line" to provide an interpretation Service if necessary. There are no meetings or events associated with the provision of this service.

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

1.4 Does your service meet the needs of all customers? How do you know? How do you check? Do some needs / priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?	To facilitate the payment of invoices the County Council offers; Bacs (i.e. inter bank transfers), post office (i.e. Girobank), credit card (taken over the phone), direct debit, cheque, postal orders and, from July 2010, internet payment, in accordance with EU regulations. Payment can also be received in foreign currencies where the Council's bankers will arrange conversion to sterling and credit the Council's bank account for subsequent allocation to the invoice. By offering a wide variety of payment methods, including direct contact by phone, it is considered that all groups will find one suitable to their particular situation. Feedback on the appropriateness of the various payment methods offered is obtained via working groups of Accountants, Accounting Technicians, System users and Section Managers within Financial Services.
1.5 How is your service / policy delivered? Do you charge for your service? Do these charges affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you ensure that external bodies comply with the Council's equality requirements? Is the policy delivered through the use of the voluntary sector or by volunteers?	This is a centralised service paid for in the form of recharges to the Directorates of the County Council. There are, therefore, no direct charges to debtors except where legal proceedings have had to be implemented in which case the courts may award costs to the County Council. As this is a centralised service there are no partnership arrangements either within the County Council or in the voluntary or private sector.

2. Data and Monitoring

This section looks at the data you have about the service / policy and who uses it (and doesn't use it). What information do you have and where does it come from? Is there anything else that you need? Can you use information that other people already collect? Do you need quantitative or qualitative data or both? What would each type of data tell you? How accurate is the data? Are there informal processes taking place that are not accounted for?

When collecting information consider how you word that questions or categories so that you information is comparable over time or with other data sets – for example are the age categories you use consistent across the data sets you have?

Have you considered how demographics or trends may influence demands for your service over time, for example an increase in the percentage of older people and the possible impact on housing needs of those people should be considered in future planning policy. Another affect of the increase in older people may be a greater incidence of disabilities associated with older age. This increase in demand for associated services would need to be quantified and fed into plans for service delivery in the future.

2. Data and Monitoring

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

2.1 What data do we use now? Is it broken down by equality and diversity categories? How current is the data? Where is it from? Is it relevant? Are the equality and diversity categories consistent across all the data used?	It is not considered appropriate to conduct surveys of the debtors who are being pursued for payment as the responses are unlikely to be beneficial. It is recognised that there are vulnerable groups of clients, particularly in the Adult and Community Services. Special consideration is taken through consultation with the Directorate when pursuing the debts of clients in care homes or in receipt of care in the community. There is no specific analysis, nor attempts to classify debtors, into specific groups. In essence each debt is handled the same in the initial processes with more detailed research applied in the later, and therefore more serious and sensitive, stages of any enforced recovery. Internal issues may be raised either through Credit Control's inter Directorate working group or in the internal working groups of Finance Section representatives (Accountancy group, "Start", and Technician group, "Nuts & Bolts")
2.2 Are there areas where we need more information? How could we get this information?	There is no facility, within the Accounts Receivable system, to allocate debtors to any particular client group. Accounts are allocated using groups of numbers for raising sections so that although it may be known

2. Data and Monitoring

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are the national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?	that a number falling within a series has been issued by a specific section it may not be in respect of a debtor in a particular social group. No other indicators are available nor attempts made to collect data about any particular social or ethnic group.
2.3 What analysis have you carried out on the data? Does the analysis include general demographic trends and local specific trends such as ageing, migration and the nature of minority ethnic communities and other diverse groups e.g. lesbian, gay, transgender etc? Does it include trends about specific sectors as appropriate e.g. education, transport, housing, retail and business opportunities? Does your policy or plan identify how changes in demand for services and potential demand will be tracked over time, and the process for influencing service change? Does it identify the level of take-up of services by different groups of people? Is it free of generalisations or stereotypical notions about people of different groups and does it reflect the diversity of people in North Yorkshire? Does it identify the equality profiles of users / beneficiaries and staff?	As a result of the inability of the system to make distinctions between debtors no data has been collected
2.4 What does the analysis of the data show? Does that data show any differences in outcome for different groups? e.g. differences in take up rates or satisfaction levels across groups. Is it what you expected? Does it change earlier assumptions?	No data collected and therefore unable to perform an analysis

2. Data and Monitoring

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

2.5 What are the mechanisms for the ongoing monitoring of progress on your policy / service, or monitoring take-up of your service? Given the information above do monitoring mechanisms need to be altered to make sure that all the required data is captured? What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?	The Service undergoes continuous review by its own staff, Audit inspections, through working groups and as a result of demands on its services. An annual Service Performance Plan is produced to identify developments and set targets which are then monitored by monthly performance reports to senior management. The County Council has achieved IIP status which was reaffirmed in January 2010. An element to the retention of this status is that a proportion County Council of staff takes part in the interview process. A section of each of these interviews verifies staff awareness of, and training in, in a number of issues including equalities.

3. Consultation and User Involvement

This section looks at what consultation and user involvement you
- have already carried out about the service / policy
- will carry out about the service / policy in the future (either to inform this impact assessment or as part of your wider communication and consultation strategy for this service / policy)

If the result of this impact assessment means that you need to make substantial changes to the service / policy then you may need to carry out consultation specifically related to the impact assessment. This is covered in the action planning table at section 6.

There is comprehensive corporate guidance available on consultation and engagement which includes specific information on making sure that your consultation is inclusive. See the Accessible Communications Guidance on the intranet, to talk to the Communications Unit or contact Johanne Allison in corporate performance for further advice on consultation and when other services may be carrying out consultation work which might link with what you are doing

Social Identity Groups

Information that you gather needs to be able to be broken down by different social identity groups e.g. race, gender, age, disability, faith, sexuality so that you can analyse whether the service / policy has different affects on different groups.

For example: If 95% of customers rated the service as good or excellent in a customer survey then it might appear that everyone was generally quite happy with the service. But if further investigation showed that most of the people who thought the service was poor were disabled, this could show that there is a problem with the delivery of the service to disabled people. Further consultation could be undertaken to find out why they think the service is poor.

Social identity information is sensitive data and gathering it can seem quite daunting. It is important that when you are asking people to give this information you explain why you want it and what you will do with it but also give people the option to miss out questions they are not comfortable answering. You must also be aware of data protection issues when you are collecting and using data (see useful resources on page 8).

Without breaking down the information into specific social identity groups it is difficult to show differences in responses for different groups. This information does not need to name the individual and samples should be of a large enough size so that the identity of any individual cannot be recognised. All information should be kept confidential and only used for the purpose for which it was collected.

Samples should be sought that are representative of the whole set of people affected by the service / policy. There may be justification of over sampling specific groups if the absolute numbers of those groups are very small and the service / policy may have a substantial affect

on them. If people from particular social identity groups are not responding to your consultation then think about more specific targeting and how you are trying to contact them – is there a better way of engaging with this group?

Where possible the social identity categories should be consistent across all the consultation you undertake so that you can more accurately compare responses from different events.

If you are not sure which questions to ask and what categories should be included then please ask. Where possible you should aim to use standard categories so that your information can be more easily compared with others.

Other Considerations

You need to consider how you carry out your consultation and customer involvement to include everyone covered by the service / policy. Think about how you can consult with those users who are eligible to access the service but choose not to – why don't they? Is there a barrier that stops people accessing the service that you haven't considered?

When planning consultation, consider the following:
- Who is directly affected by the policy/service or decision?
- What relevant groups have a legitimate interest in the policy/service or decision?
- How can we ensure that those affected or with a legitimate interest in their service or decision are consulted?
- How can we advertise for people to be consulted and how can we compensate them for their time and expenses?
- How will information be made available to those consulted?
- Will the information be accessible to all groups, including those with disabilities and ethnic minorities?
- What barriers exist to effective consultation with each of the groups/bodies/persons identified above?

To ensure that consultation involves people who are likely to be affected by your service/ policy, your aim should be to:
- Review profile of current consultation groups
- Consult a wide range of people from relevant groups
- Tailor consultation methods to the groups you want to reach e.g. use voluntary/community groups to reach excluded stakeholders
- Plan and manage the consultation exercise to ensure key groups are reached, timetable it properly, make sure the aims are clear, and explain the exercise to the people involved
- Monitor and assess the consultation methods and, if necessary, adapt them
- Develop knowledge and capacity in the community so that there is meaningful engagement and consultation
- Publish the results of consultations and feed them back into your planning and decision making in an open and responsible way

3. Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

3.1 What consultation have you already done that you can use to inform this impact assessment? Please summarise the main findings from the consultation. Can you analyse the results of this consultation by social identity e.g. race, gender, age, disability, faith, sexuality Who did you consult and how? What are the main findings? Are there differences in responses between different groups? Are there more findings yet to come? NB – if this is an update please say when this information has been added. Did you find that some groups felt that they were adversely affected by the policy / service? Did you feedback the findings of the consultation to those who were involved?	Consultation is principally through internal working groups but these have failed to identify any issues and therefore no equality grouping analysis has been attempted.
3.2 What is the communication strategy to advertise and promote your plan, policy or service?	Within the County Council at present this is the only specialised debt collection service available. In a comparison exercise with other organisations in local government it was rated 14th out of 130 and therefore proved to be significantly cost effective. The sensitive nature of some local authority debts has deemed it not compatible with the use of private sector debt collection agencies. In view of the above considerations it is not appropriate to promote the use of this service to the general public
3.3 Is there any more consultation that you need to do to inform this impact assessment? Have you identified in other sections of this impact assessment information that you need to assess the impact of the service / policy on different groups of people.	Any areas for consideration would be identified via the various working groups but at present none have been identified
3.4 How and when you will consult service users about this policy/service in the future? What do you want to find out? Who will you consult with? What	There are no apparent barriers to the consultation process as this tends to be internal where views and suggestions are given equal standing.

method will you use? What are the potential or known barriers for different equality groups of your chosen method? How will you overcome this? Have you considered the accessibility of your consultation (see consultation toolkit) When will the findings be available? Will the consultation / involvement be ongoing, regular or a one-off?	
3.5 Will you use existing consultation mechanisms? Will consultation utilise existing NYCC communication, consultation and engagement mechanisms rather than setting up new mechanisms? E.g. the Citizens panel, disability reference groups, the employee equality forum? If not please explain why.	As no equality issues have as yet been identified no separate consultations are anticipated.
3.6 What do people from different groups want? Have you asked people from different groups what they need or want? What was the outcome of this? Is this reflected in your policy / service?	All groups would expect and receive the same service Special consideration can be given to elderly customers, though this is not necessarily welcomed, through home visits. These can be arranged through Adult & Community Services who operate the Home Care Network service. Further background information in these "special cases" can be obtained by the collecting officer from Adult & Community Services or using their personally secured access to the "Swift" client database system.

4. Best Practice

This section looks at the things that you can do to improve the equality and diversity of your service / policy. This might include considering how staff are made aware of the equality and diversity issues that affect their work and how senior manager's champion equality and diversity issues within their service. Are partners aware of our equality and diversity standards, do we make sure that partnerships that we are involved in consider equality and diversity issues appropriately?

4. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

4.1 Is there a Champion at a senior level for this policy / function? Is the champion fully aware of equality and diversity issues generally and those specific to this policy? Are they regularly briefed /updated on equality and diversity?	The Assistant Director for the Central Finance Service Unit has overall responsibility for the service and is fully aware of equality and diversity issues. Any general developments affecting this or any other function in the Service Unit are raised at Section Manager meetings or, if they are more specific, with the Manager personally responsible for the function in question.
4.2 Are staff training needs identified? Do staff understand wider equality and diversity issues and the issues specific to this policy? Are staff sufficiently aware of equality and diversity issues to allow them to signpost to information about this and other policies, plans or services – to promote better customer care?	An Equality learning course is provided as part of the Learning and Development process and is undertaken by all staff as part of the Section training plan and is part of the induction process for new starters. Equality is included as a standard item at Section Manager meetings where issues may be raised and/or guidance given. This is then disseminated to all staff via monthly team briefings. Minutes are produced after each briefing and stored electronically in a section folder available to all staff should they require access.
4.3 Is the role of key partner organisations identified? Are key partners identified and their role in equality and diversity issues explained?	There are no key partner arrangements
4.4 Are the contributions of different groups acknowledged and encouraged?	No consultation with individual groups is undertaken and therefore it is not possible to acknowledge any specific contribution.

4. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

If appropriate, does the policy or plan identify the contribution of different groups of people to social, political and cultural life and does it identify mechanisms to develop this?	
4.5 Does the policy/ service link with and support the Council's Social Inclusion Strategy? Link to intranet	This function is not affected by the Social Inclusion strategy
4.6 Does the policy contribute to better community cohesion? Does it promote good relations between different communities?	Not applicable
4.7 Does your policy, plan or service promote or further enable access to services, information, buildings, specialist equipment, timing of meetings etc to reduce barriers?	Not applicable

5. Action Planning

This section helps you identify the actions that you need to undertake to make sure that equality and diversity issues are appropriately dealt with.

Before deciding to take action to eliminate disadvantage you should consider the impact. If you have identified an adverse impact and these are directly discriminatory, then the policy is unlawful and should be rejected straightaway. It may be that a service or policy which has an adverse affect as a result of indirect discrimination can be justified. To do this you will need to document that:
- The policy was necessary to carry out the organisation's functions
- There was no other way of achieving the aims of the policy that had a less discriminatory affect
- Means employed to achieve the aims of the policy are proportionate, necessary and appropriate.

Where issues have been identified throughout the rest of the impact assessment you need to show them in the action plan and identify how you will address them and timescales and responsible officers for doing this. All actions to eliminate or mitigate disadvantage should be:
- Proportionate
- Targeted
- May allow short-term disadvantage to create longer term advantage for all
- Based on need (not an equal division of resources) to ensure access to the equivalent benefits
- Not disadvantage other groups

There are a number of possible actions you may identify, some examples are:
- Review the policy/service and the intended outcomes
- Include relevant stakeholders in policy/service reviews
- Change the way the policy/service is delivered
- Stop a service or practice
- Provide a new/additional service
- Provide new/additional facilities
- Change the way the policy/service is publicised/communicated
- Train staff on equality and diversity
- Re-allocate resources to tackle disadvantage
- Review supplier profiles and/ or change how suppliers are contracted
- Making reasonable adjustments to premises
- Commission further research
- Undertake positive action initiatives

5. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence

5.1 Has an adverse impact been identified for one or more groups? Has the consultation or data analysis shown anything in the policy, plan or service that results in disadvantage or discrimination towards people of different groups? Which groups?	An action plan for Exchequer Services is held on an "Equalities" spreadsheet (see evidence folder). However no adverse impacts have been identified.
5.2 How could the policy be changed to remove the impact? Have you considered all the different options? If you feel that you don't have enough information to decide this, one of your actions may be around gathering more information.	Not applicable
5.3 Are you planning to consult people on the outcome of this impact assessment? When and how will you do this? How will you incorporate your findings into the policy?	There are no plans for consultation with any group of people. The result of this impact assessment is available to view on the County Council Website.
5.4 Can any adverse impact be justified? If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?	Not applicable as there are no adverse impacts
5.5 Are equality and diversity principles promoted and mainstreamed? Even if there isn't an adverse impact are there actions that could be undertaken to promote and mainstream equality and diversity principles? Is best practice being followed, and being disseminated to others?	Whilst it is considered that there are no adverse impacts in the provision of this service a consistent approach by all services provided by the Central Finance Service Unit is promoted and maintained through the monthly Section Manager briefings process.
5.6 Are there any other equality issues that haven't been	Difficult to identify an, as yet, unknown quantity but this assessment will be reviewed on an annual basis

5. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence

covered through this impact assessment? Are there any other sections of the community that are affected?	
5.7 Service Performance Planning Are equality issues addressed in your service performance plans? How will the issues raised in this Impact Assessment be incorporated into your mainstream planning?	Equality issues are covered in section 10 of the Central Finance Service Plan, and addressed via monthly section manager meetings, an equality e-learning course provided by the County Council's Learning and Development Unit and monthly team briefings. The Service Plan for 2010-11 requires that all staff complete the e-learning course and for each section to complete, and keep under review, its equality impact assessments.

The table below allows you to capture any equality and diversity issues identified throughout this EIA and plan how you will address these issues. Actions identified in the table below should be included in your Service Equality and Diversity Action Plan, which should also be included in your Service Performance Plan. When proposing actions, it may be helpful to consider the following:
- Will this action reduce or remove any disadvantage?
- Will this action further or hinder equality and the meeting of the general duty/duties?
- Will this action actively promote equality?
- How would certain groups benefit from this action?
- Would any other group be more disadvantaged?
- What are the costs of implementing this action?
- How will the proposed action/s be consulted on/communicated?
- How will the proposed action/s be implemented?
- Who is responsible for implementing the Action Plan?
- How will the outcomes be monitored and measured?

Issue What are the key equality issues identified from the assessment and consultation and data analysis phases?	Considerations Are there any legal considerations / implications? Can less favourable treatment be justified? Are there any other changes that need to be considered? Have you sought advice? Who from?	Objective What outcome would you want to achieve? Is it achievable?	Action What improvements could you make to achieve this outcome? What resources will you require to achieve this outcome?	Timescale & Lead Officer
None	No	None	None	

<u>**6. Publicity and Communication of the Impact Assessment**</u>

As a County Council we are working towards publishing all of our impact assessments on the internet in line with statutory requirements. It also demonstrates our commitment to promoting equality and diversity, and ensures that policies and services are clear and plain to the public. When carrying out your impact assessment please be aware that it will become a public document.

When you publish your Impact Assessments it should include:
- A description of the policy and a brief account of how you assessed its possible effects
- A summary of the results of the assessment, including the likely impact of the policy on equality (race, disability, gender etc)
- Any available technical reports, or how to access them
- A review of your policy (or policy options) in light of your assessment
- A statement of what you plan to do next

6. Publicity and Communication of the Impact Assessment

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender**

	<u>**Evidence**</u>
6.1 How will the results be published? Include reference to how results will be made accessible, plain English, summary / key points, who is the audience e.g. staff, community, service users etc.	Impact Assessments carried out by all sections within the Central Finance Service Unit are published on the County Council's website. Exchequer Services also maintains an information spreadsheet that staff are able to access.

You have now completed your Equality Impact Assessment. Next steps…

When this EIA has been agreed by your service / section management team, please forward this to your directorate equality working group.

Your impact assessment will go through a quality assurance process which will look at a number of issues, including: -

- How will you make sure that your impact assessment picks up all the issues?

- Have you discussed your impact assessment with your Directorate Equality Champion? Have they made any comments?
- Have your directorate equality and diversity working group considered the results of the impact assessment?
- Why has this policy, service or practise been impact assessed?
- Are the results (outcomes) expected by the organisation for that policy/service clearly indicated?
- Are the sources of evidence listed that indicate whether the organisation is meeting the outcomes for the relevant stakeholders?
- Is there an indication of who has been consulted in the impact assessment process and does this include a cross section of relevant stakeholders?
- Is there an indication that following assessment action is to be taken and if so what and how (e.g. indicated in the business plan, reported to the race equality scheme lead)?
- Does the impact assessment indicate that this policy, service etc is being monitored to ensure equality of access or if it is a new policy is there a monitoring system in place?
- Does the impact assessment report state how the results of any assessment are to be published or communicated if appropriate (e.g. impact assessment results notified to the diversity advisor for inclusion in the scheme report)?
- Is there a clearly accountable person for that impact assessment from the unit?
- How will quality assurance learning be fed back?