



Initial Integrated Impact Assessment

Guidance Notes and Template Form

The Comhairle is required to legally, and in line with the principles of best practice and continuous improvement, 'assess the impact' of applying new or revised policies. This guidance and template form aims to support Comhairle Officers undertake an Initial Integrated Impact Assessment.

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Undertaking an Initial Integrated Impact Assessment

This document lays out a step by step guide to conducting an Initial Integrated Impact Assessment (IIA) and provides a template form to record the decision making process. A supporting information booklet is also available which contains more detailed information around impact assessments, the legal context, protected characteristics, population groups, information sources and a glossary. The supporting information is not exhaustive but intended to inform and support discussions.

Each section below provides a summary of the information that should be considered and included in an impact assessment and relates to the corresponding section on the template form provided at the end of this document.

If further support is required you are advised to contact the Internal Strategy Manager in the first instance.

Section 1 - The Policy and Responsible Persons

The term 'policy' is used throughout this guidance note and applies to policies, strategies, provisions, criteria, functions, practices, budget savings and activities, including the delivery of services.

The purpose of the policy being developed or reviewed should be clearly stated including what the aims, objectives and intended outcomes are. Details including the context within which the policy will operate should be provided.

Budgetary information should be provided including projected spends, costs and savings in addition to the sources of the funding.

The overarching changes that the policy is intended to bring about should be detailed.

You are required to identify people who may be impacted by the policy. Particular focus should be on population groups such as people with protected characteristics and those who are vulnerable to falling into poverty. You should consider employees, clients, customers and service users.

The Officer responsible for developing the policy is responsible for undertaking the impact assessment and should be named within this section. All team members should be acknowledged for their contributions to the IIA. The relevant Head of Service or Director who will sign off the final document should also be identified in this section.

Section 2 - Evidence

Describe the data and information used as evidence as part of the policy development process. This may include internal documentation and statistics, equality data, poverty data and general research. Information could include; local or national evidence, surveys, databases, focus groups, in-depth interviews, pilot projects, reviews of complaints made,

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user feedback, academic publications and consultants' reports and in a quantitative (numbers, percentages, statistical data) or qualitative (written/spoken words, opinions, surveys) format. You should either include the evidence or reference where the information can be found.

You are required to detail any consultation and involvement that has taken place as part of the policy development process. This should include details of who or what groups have been involved and the level of their involvement. When and how the consultation took place, what the outcomes were and where they can be found.

A summary of what the researched information and any consultation indicated regarding potential impacts of the policy should be provided.

You are required to describe any gaps in the available information, and record what further evidence or consultation is required, how this will be gained and when this is planned for.

Section 3 – Initial Impact Assessment

The initial impact assessment is a short exercise that involves looking at the overall policy and assessing its broad and potential impacts.

You are required to identify people who may be impacted by the policy. Particular focus should be on population groups such as people with protected characteristics and those who are vulnerable to falling into poverty. You should consider employees, clients, customers, service users and various population groups.

Think about:

- Who is likely to be directly affected by the proposal?
- Who is likely to be indirectly affected by the proposal?
- Is it likely that some people might be excluded from the proposal?
- Are there any unintended consequences for people?

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

Do you have evidence or reason to believe that this policy will or may impact on the following:

- Socio-economic inequalities
- Human Rights
- Health and Wellbeing
- Economic and Social Sustainability
- Environmental Sustainability, Climate Change and Energy Management
- The Gaelic Language
- Island Proofing

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Section 4 - Decision

As a general rule, if you have two or more ticks in either the equality or socioeconomic disadvantage sections then a full IIA will be required as this indicates that impacts and/or areas for concern have been identified and require further investigation. Impacts include where there is potential for:

- Unlawful discrimination
- People to be treated differently/unfairly
- Certain groups to be disadvantaged
- Community relations to be damaged

Where the anticipated adverse effect is minor, can you identify any means to minimise the impact? If that is the case and measures can be put in place to minimise impact, a full IIA may not be required.

If whilst completing the initial impact assessment you identify that no impacts have been identified and there are no areas for concern, then you must give a detailed explanation to support your decision rationale.

Section 5 - Sign Off and Authorisation

The relevant Head of Service or Director is required to sign off the final document.

All completed assessments should be forwarded to equalities@cne-siar.gov.uk.

The assessment should be appended to any formal Reports relating to the policy.

The results of the IIA will be published externally and be made accessible to the general public. The Comhairle's website has a page where completed impact assessments are published:-

<http://www.cne-siar.gov.uk/equalityanddiversity/equalityimpact.asp>

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This template form is intended to guide Officers through an impact assessment. Officers should not be restricted by the fields contained within the template. The template should be completed as a minimum but Officers are encouraged to provide additional information where relevant.

Section 1 - The Policy	
Policy title	
Implementation date	
Please provide an overview of the policy including the key aims and expected outcomes:	
Detail the budget implication relating to the policy:	
What will change as a result of this policy?	
Indicate which groups of people will be, or potentially could be, impacted upon by the implementation of this policy?	
Responsible Persons	
Department / Section	
Lead Officer	
IIA Team Members	
Responsible Head of Service	

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Section 2 - Evidence

What data and information has been reviewed as part of the policy development process?

Detail what consultation has taken place as part of the policy development process?

What does the information collected and the outcome of any consultation indicate regarding potential impacts of the policy?

Are there any gaps in knowledge? If further evidence or consultation required as part of the policy development process please detail:

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Section 3 - Initial Integrated Impact Assessment

Impact Overview	Yes	No
Is the policy strategic?		
Will individuals have access to, or be denied access to a service or function as a result of the policy or the changes being proposed to services or functions?		
Will the implementation of the policy, or the changes to the policy, result in individuals being employed, a change in staffing levels, or a change in terms and conditions, employer or location, either directly or indirectly?		
Is there a change in the size of a budget?		
Will a service be withdrawn, changed or expanded?		
Will the policy have consequences for or affect people?		
Does the policy have the potential to have an impact on equality even when this only affects a relatively small number of people?		
Does the policy have the potential to have an impact on the economy and the delivery of economic outcomes?		
Is the policy likely to have a significant environmental impact?		
Comments		

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Which groups of people will be, or potentially could be, impacted upon by the implementation of this policy?	Yes	No	Comments
age			
disability			
sex			
gender reassignment			
marriage and civil partnership			
pregnancy and maternity			
race			
religion or belief			
sexual orientation			

Do you have evidence or reason to believe that this policy will or may impact on socio-economic inequalities?	Yes	No	Comments
Socio-economic Disadvantage			
Low Income/Income Poverty			
Low and/or no wealth			
Material Deprivation			
Area Deprivation			
Socioeconomic Background			

Do you have evidence or reason to believe that this policy will or may affect individuals Human Rights?	Yes	No	Comments
Human Rights			

Do you have evidence or reason to believe that this policy will have wider impacts as outlined below?	Yes	No	Comments
Health and Wellbeing			
Economic and Social Sustainability			
Environmental Sustainability, Climate Change and Energy Management			
The Gaelic Language			
Island Proofing			
Is there the potential for cumulative impact?			

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Section 4 - Decision

Based on the initial Integrated Impact Assessment is a full IIA required?

Yes ☐

Full IIA Lead Officer: _____

Estimated completion date: _____

No ☐

If an IIA is deemed not to be required please detail the decision rational below:

Section 5 - Sign Off and Authorisation

Signed by Lead Officer	
Designation	
Date	
Counter Signature (Head of Service or Director responsible for the policy)	
Date	

All completed assessments should be forwarded to equalities@cne-siar.gov.uk.