

Equality Impact and Risk Assessment Stage 2 for Services

Title of Service / Proposal:

Title



Equality & Inclusion Team, Corporate Affairs
For enquiries, support or further information contact
Email: equality.inclusion@nhs.net

**EQUALITY IMPACT AND RISK ASSESSMENT TOOL FOR SERVICES
STAGE 2**

ALL SECTIONS – MUST BE COMPLETED
Refer to guidance documents for completing all sections

SECTION 1 - DETAILS OF PROJECT

Organisation:

Assessment Lead:

Directorate/Team responsible for the assessment:

Responsible Director/CCG Board Member for the assessment:

Who else will be involved in undertaking the assessment:

Date of commencing the assessment:

Date for completing the assessment:

EQUALITY IMPACT ASSESSMENT

Please tick which group(s) this service / project will or may impact upon?	Yes	No	Indirectly
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Patients, Service Users			
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Carers or Family			
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General Public			
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Staff			
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Partner Organisations			
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Background of the service / project being assessed:

What are the aims and objectives of the service / project being assessed?

Services currently provided in relation to the project:

Which equality protected groups (age, disability, sex, sexual orientation, gender reassignment, race, religion and belief, pregnancy and maternity, marriage and civil

partnership) and other employees/staff networks do you intend to involve in the equality impact assessment?

Please bring forward any issues highlighted in the Stage 1 screening

Are there any identified health inequalities relating to this decision? If so, please summarise these.

How will you involve people from equality/protected groups in the decision making related to the project?

Does the project comply with the NHS Accessible Information Standard? (providing any documents, leaflets, resources in alternative formats if requested to meet differing communication needs of patients and carers) YES or NO

Please explain how?

EVIDENCE USED FOR ASSESSMENT

What evidence have you considered as part of the Equality Impact Assessment?

- All research evidence base references including NICE guidance and publication—please give full reference
- Bring over comments from Stage 1 and prior learning (please append any documents to support this)

ENSURING LEGAL COMPLIANCE

Think about what you are planning to change; and what impact that will have upon 'your' compliance with the Public Sector Equality Duty (refer to the Guidance Sheet complete with examples where necessary)

In what way does your current service delivery help to:	How might your proposal affect your capacity to:	How will you mitigate any adverse effects? (You will need to review how effective these measures have been)
End Unlawful Discrimination?	End Unlawful Discrimination?	End Unlawful Discrimination?
	Enter text here	Enter text here
Promote Equality of Opportunity?	Promote Equality of Opportunity?	Promote Equality of Opportunity?
Enter text here	Enter text here	Enter text here
Foster Good Relations Between People	Foster Good Relations Between People	Foster Good Relations Between People
Enter text here	Enter text here	Enter text here

WHAT OUTCOMES ARE EXPECTED/DESIRED FROM THIS PROJECT?

What are the benefits to patients and staff?

How will any outcomes of the project be monitored, reviewed, evaluated and promoted where necessary?

“think about how you can evaluate equality of access to, outcomes of and satisfaction with services by different groups”

EQUALITY IMPACT AND RISK ASSESSMENT

Does the ‘project’ have the potential to:

- Have a **positive impact (benefit)** on any of the equality groups?
- Have a **negative impact / exclude / discriminate** against any person or equality group?
- **Explain** how this was **identified? Evidence/Consultation?**
- Who is most likely to be **affected** by the proposal and **how** (think about barriers, access, effects, outcomes etc.)
- Please include all evidence you have considered as part of your assessment e.g. Population statistics, service user data broken down by equality group/protected group

Please see Equality Groups and their issues guidance document, this document may help and support your thinking around barriers for the equality groups

Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Age			

Explanation:			
Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Disability			
Explanation:			
Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Gender Reassignment			
Explanation:			
Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Pregnancy and Maternity			

Explanation:			
Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Race			
Explanation:			
Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Religion or Belief			
Explanation:			
Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Sex (Gender)			

Explanation:			
Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Sexual Orientation			
Explanation:			
Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Marriage and Civil Partnership N.B. Marriage & Civil Partnership is only a protected characteristic in terms of work-related activities and NOT service provision			
Explanation:			
Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Carers			

Explanation:

Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Deprived Communities			

Explanation:

Equality Group / Protected Group	Positive effect	Negative effect	Neutral /Indirect effect
Vulnerable Groups e.g. Asylum Seekers, Homeless, Sex Workers, Military Veterans, Rural communities.			

Explanation:

SECTION 3 - COMMUNITY COHESION & FUNDING IMPLICATIONS

Does the 'project' raise any issues for Community Cohesion (how it will affect people's perceptions within neighbourhoods)?

What effect will this have on the relationship between these groups? Please state how relationships will be managed?

Does the proposal / service link to QIPP (Quality, Innovation, Productivity and Prevention Programme)? Yes / No

Does the proposal / service link to CQUIN (Commissioning for Quality and Innovation)?
Yes / No

What is the overall cost of implementing the 'project'?
Please state: Cost & Source(s) of funding:

This is the end of the Equality Impact section, please use the checklist in Appendix 2 to ensure and reflect that you have included all the relevant information.

SECTION 4 - HUMAN RIGHTS ASSESSMENT

If the Stage 1 Equality Impact and Risk Assessment highlighted that you are required to complete a Stage 2 Human Rights assessment (please request a stage 2 Human Rights Assessment from the Equality and Inclusion Team), please bring the issues over from the screening into this section and expand further using the Human Rights full assessment toolkit then email to equality and inclusion team.

SECTION 5 – RISK ASSESSMENT

See guidance document for step by step guidance for this section

Risk Matrix. Use this table to work out the risk score

RISK MATRIX					
Consequence level	Risk level				
	RARE 1	UNLIKELY 2	POSSIBLE 3	LIKELY 4	VERY LIKELY 5
1. Negligible	1	2	3	4	5
2. Minor	2	4	6	8	10
3. Moderate	3	6	9	12	15
4. Major	4	8	12	16	20
5. Catastrophic	5	10	15	20	25
Consequence Score: Likelihood Score: Risk score = consequence x likelihood					Enter risk score here

Example: risk of not consulting patients leading to legal challenge: Consequence score of 5 and Likelihood score of 4	20
Any comments / records of different risk scores over time (e.g. reason for any change in scores over time):	

Important: If you have a risk score of 9 and above you should escalate to the organisations risk management procedures.

EQUALITY IMPACT AND RISK ASSESSMENT AND ACTION PLAN

Risk identified	Actions required to reduce / eliminate negative impact	Resources required (this may include financial)	Who will lead on the action?	Target date
<i>Example: A proposal to decommission a service has not adequately consulted with protected groups therefore lead s to a risk to both the proposal and the organisation through risk of legal challenge and/or Judicial Review.</i>	<i>Consult with people with protected characteristics who may be directly or indirectly affected by the proposal. To show understanding of the issues that may affect protected groups in relation to the proposal.</i>	<i>Consultation and engagement plan.</i>	<i>Comms and Engagement – A. Body</i>	<i>01/01/2017</i>

SECTION 6 – EQUALITY DELIVERY SYSTEM 2 (EDS2)

Please go to Appendix 1 of the EIRA and tick the box appropriate EDS2 outcome(s) which this project relates to. This will support your organisation with evidence for the Equality and Inclusion annual equality progress plan and provide supporting evidence for the annual Equality Delivery System 2 Grading

SECTION 7 – ONGOING MONITORING AND REVIEW OF EQUALITY IMPACT RISK ASSESSMENT AND ACTION PLAN

Please describe briefly, how the equality action plans will be monitored through internal CCG governance processes?

Date of the next review of the Equality Impact Risk Assessment section and action plan? (Please note: if this is a project or pilot, reviews need to be built in to the project/pilot plan)
Which CCG Committee / person will be responsible for monitoring the action plan progress?
FINAL SECTION SECTION 8
Review date linked to Commissioning Cycle:
Acknowledgement that EIRA will form evidence for NHS Standard Contract Schedule 13: Yes / No
Date sent to Equality & Inclusion (E&I) Team for quality check:
Date quality checked by Equality and Inclusion Business Partner:
Date of final quality check by Equality and Inclusion Business Partner:
Signature Equality and Inclusion Business Partner:
CCG Committee Name and sign off date:



This is the end of the Equality Impact and Risk Assessment process: By now you should be able to clearly demonstrate and evidence your thinking and decision(s). To meet publishing requirements this document SHOULD NOW BE PUBLISHED ON YOUR ORGANISATIONS WEBSITE.

- Save this document for your own records. Send this documents and copy of Human Rights Screening to equality.inclusion@nhs.net

Supplementary information to support CCG compliance to equality legislation:

Appendix 1: Equality Delivery System:

APPENDIX 1: The Goals and Outcomes of the Equality Delivery System			Tick box(s) below
Objective	Narrative	Outcome	
1. Better health outcomes	The NHS should achieve improvements	1.1 Services are commissioned, procured, designed and delivered to meet the health needs of local communities	

	in patient health, public health and patient safety for all, based on comprehensive evidence of needs and results	1.2 Individual people's health needs are assessed and met in appropriate and effective ways	
		1.3 Transitions from one service to another, for people on care pathways, are made smoothly with everyone well-informed	
		1.4 When people use NHS services their safety is prioritised and they are free from mistakes, mistreatment and abuse	
		1.5 Screening, vaccination and other health promotion services reach and benefit all local communities	
2. Improved patient access and experience	The NHS should improve accessibility and information, and deliver the right services that are targeted, useful, useable and used in order to improve patient experience	2.1 People, carers and communities can readily access hospital, community health or primary care services and should not be denied access on unreasonable grounds	
		2.2 People are informed and supported to be as involved as they wish to be in decisions about their care	
		2.3 People report positive experiences of the NHS	
		2.4 People's complaints about services are handled respectfully and efficiently	
3. A representative and supported workforce	The NHS should increase the diversity and quality of the working lives of the paid and non-paid workforce, supporting all staff to better respond to patients' and communities'	3.1 Fair NHS recruitment and selection processes lead to a more representative workforce at all levels	
		3.2 The NHS is committed to equal pay for work of equal value and expects employers to use equal pay audits to help fulfil their legal obligations	
		3.3 Training and development opportunities are taken up and positively evaluated by all staff	
		3.4 When at work, staff are free from abuse, harassment, bullying and violence from any	

	needs	source	
		3.5 Flexible working options are available to all staff consistent with the needs of the service and the way people lead their lives	
		3.6 Staff report positive experiences of their membership of the workforce	
4. Inclusive leadership	NHS organisations should ensure that equality is everyone's business, and everyone is expected to take an active part, supported by the work of specialist equality leaders and champions	4.1 Boards and senior leaders routinely demonstrate their commitment to promoting equality within and beyond their organisations	
		4.2 Papers that come before the Board and other major Committees identify equality-related impacts including risks, and say how these risks are managed	
		4.3 Middle managers and other line managers support their staff to work in culturally competent ways within a work environment free from discrimination	

Appendix 2: Checklist for ensuring you have considered public sector equality duty and included all relevant information as part of the EIRA.

Equality Impact and Risk Assessment Checklist	
Scope	Yes/No
Have I made the reader aware of the full scope of the proposal and do I understand the current situation and what changes may occur?	
Legal	
Have I made the reader aware of our organisations legal duties with regard to Equality & Diversity and are they documented?	
Has the relevance of these duties pertaining to this item been outlined explicitly and documented?	
Have I explained how in this area we currently meet our Public Sector Equality Duties and how any change may affect this?	
Information	
Have I seen sufficient research and consultation to consider the issues for equality groups? (This may be national and local; demographic, numbers of users, numbers affected, community needs, comparative costs etc.)	
Have I carried out specific consultation with affected groups prior to a final decision being made?	
Has consultation been carried out over a reasonable period of time i.e. no less than six weeks leading up to this item?	
Have I provided evidence that a range of options or alternatives have been explored?	
Impact	
Do I understand the positive and negative impact this decision may have on all equality groups?	
Am I confident that we have done all we can to mitigate or at least minimise negative impact for all equality groups?	
Am I confident that where applicable we considered treating disabled people more favourably in order to avoid negative impact (Disability Equality Duty)?	

Am I confident that where applicable we allowed an exception to permit different treatment (i.e. a criteria or condition) to support positive action	
Have I considered the balance between; proposals that have a moderate impact on a large number of people against any severe impact on a smaller group.	
*Wider Budgetary Impact (where applicable)	
Within the wider context of budgetary decisions did I consider whether an alternative would have less direct impact on equality groups?	
Within the wider context of budgetary decisions did I consider whether particular groups would be unduly affected by cumulative effects/impact?	
Transparency of decisions	
Will there be an accurate dated record of the considerations and decisions made and what arrangements have been made to publish them?	
Due regard	
Did I consider all of the above before I made a recommendation/decision?	

