

Transport for London



Equality Impact Assessments

How to do them
June 2004





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Equality Impact Assessments

How they work

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1. What is an Equality Impact Assessment?

The purpose of an Equality Impact Assessment (EQIA) is to improve the work of TfL by making sure it does not discriminate and that, where possible, it promotes equality and fulfil our duties under the Race Relations (Amendment) Act 2000.

It is a way to make sure individuals and teams think carefully about the likely impact of their work on Londoners and take action to improve strategies¹, policies² and projects³, where appropriate. There is a legal requirement to consider the impact of some aspects of TfL's work on race equality.

The EQIA focuses on assessing and recording the likely equalities impact of a TfL strategy, policy, business plan, or project. There is a focus on assessing the impact on certain groups of people known as equality target groups. It involves anticipating the consequences of policies and projects on these groups and making sure that, as far as possible, any negative consequences are eliminated or minimised and opportunities for promoting equality are maximised.

The EQIA is carried out by completing a form (see page 9). The first section of the form is used for a preliminary screening of the policy or project and the second section is used for a more detailed assessment.

Any recommendations for action as a result of the impact assessment should be in the Equality Impact Assessment Action Plan (see page 14)

TfL's strategies undergo a more wide-ranging assessment. Not only are EQIAs done for the planning stage, the draft stage and the final stage of the strategies, but teams within TfL comment on and review the strategies and their equalities impacts on an ongoing basis.

Carrying out an EQIA does not replace the need to consider the minimum requirements concerning equalities outlined in the Business Planning Guidelines.

A copy of the EQIA form, information on why TfL carries out EQIAs and detailed guidance on completing the form will be available on the intranet.

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1. Strategy refers to both the statutory strategies of TfL, and reviews of those strategies and non statutory and model strategies.
 2. A policy is a statement of intent, agreed by the Board (for external policies) and the Commissioner (for internal policies), describing the principles that TfL will adopt in order to satisfy the legitimate desires of its stakeholders.
 3. A project is defined in The Scheme of Delegation of TfL Standing Order No.2 as a non-recurring, time related package of work with specific outputs and deliverables. This covers both:
 - Expenditure of a capital nature where the creation of a new asset or enhancing the value of an existing asset is the main purpose of the proposal.
 - Non-recurring expenditure of a revenue nature incurred with the intention of achieving a specific output or deliverable.

2. What does TfL mean by an ‘impact’?

TfL looks at two possible impacts in its assessments:

A **negative or adverse impact** – where the impact could disadvantage one equality target group, or some equality target groups. This disadvantage may be differential, where the negative or adverse impact on one particular group of individuals or one equality target group is likely to be greater than on another.

It should be noted that some negative or adverse impacts may be intended. The EQIA provides an opportunity to assess this.

An example of this is an event that was held in a building with no induction loop facilities would have a negative or adverse impact on some attendees with a hearing impairment.

An impact that will have a **positive impact** on an equality target group, or some equality target groups, or improve equal opportunities and /or relationships

between groups. This positive impact may be differential, where the positive impact on one particular group of individuals or one equality target group is likely to be greater than on another.

For example a targeted training programme for black and minority ethnic women would have a positive differential impact on black and minority ethnic women, compared with its impact on white women and all men. It would not, however, necessarily have an adverse impact on white women or men.

Improvements to waiting times for buses at night could have a positive differential impact on women because of what we know about women’s different and greater concerns for personal safety at night.

Respect Festival - the purpose of the respect festival is to improve race relations in London and beyond, it has an impact that will improve equal opportunities.

3. What are the equality target groups?

TfL together with the Mayor, the GLA and other functional bodies have defined equality target groups as: women; black and minority ethnic people; young people and children; older people; disabled people; lesbians; gay men; bisexuals; transgendered and people from different faith groups.

The equality areas, or strands as they are commonly called, are gender, race, disability, age, faith and sexuality. The strands are inclusive of all people.



4. When to carry out an EQIA

The following projects and policies require an EQIA:

- the TfL Business Plan and all best value reviews
- policies and projects that each of TfL's directorates identify as requiring an EQIA, as part of the business planning process each year. These should be policies and projects that:
- are of relevance to TfL's duty to promote race equality
- and are primary high level functions, rather than support functions or sub-projects
- and are in their initial planning stage or undergoing a revision.

The EQIA is done in two parts.

Section One: Initial screening

An EQIA Initial Screening should be undertaken :

- for all new projects at the feasibility stage
- all current projects (2004/05) identified in the RES Appendix B – Year 1 (Relevance to General Duty High)
- during the initial stage of development of a policy or strategy
- during the development of a business case (if not already undertaken at the feasibility stage)
- for all projects captured in the 2005/06 Business Plan submission after the final submission in September 2004

For all projects seeking funding beyond 2005/06 details of when to complete the Initial Screening will be captured in the Equality & Inclusion section of the Business Planning guidelines.

Section two: Full impact assessment

An EQIA Full Assessment should be undertaken:

- for all projects, policies, and strategies that have identified an adverse/negative impact during the Initial Screening.

All project leaders are responsible for incorporating equalities into their projects or strategies and for assessing the equalities impacts. This should be a continuous process, starting at the very beginning of the project. Any project or policy team can use the EQIA to help them assess the potential impact of their project, regardless of whether it has been identified by the directorate as requiring an EQIA.

If project leads require further clarification contact your manager or a member of the Equality & Inclusion Team.

A list of strategies, policies and projects requiring an EQIA in the current financial year will be developed and communicated to relevant businesses by July 04 when further details will be available on the intranet.

5. Equality impact Assessment

5a Section one: Initial Screening

Section one of the EQIA – the screening – should be carried out at the planning and development stage of the project, strategy or policy.

This section should be completed before obtaining approval for a strategy, policy, project e.g. before reporting to the Senior Management Group.

Some large projects will be made up of many different activities, some of which are in themselves projects. As part of the screening, these activities should be listed and if any of them are projects in themselves, the project lead should consider whether they need to undergo a separate EQIA screening.

Once section one has been completed, the project is only required to go through the second stage of the EQIA if:

- any equality target group or sub section of an equality target group would be negatively affected
- and that impact is assessed as of high significance (see flow chart on page 8).

The completed screening form should be kept on file as it will be required for audit purposes.

The initial and full assessment guidance forms will be available on the intranet from July 2004.

5b Section two: Full Impact Assessment

Detailed assessment

Section two of the EQIA is used to examine projects which the initial screening indicated may have a negative impact on certain equality target groups. Projects, strategies and policies go through this second stage if there is a danger that the negative or adverse impact they have on these groups falls into one (or more) of the following categories:

- It is assessed as of high impact.
- It is not intentional.
- It is illegal or possibly illegal (ie discriminatory according to anti-discrimination legislation).

Such projects must have a detailed assessment carried out, using section two of the EQIA.

This divides into:

- Part A provides an opportunity to assess, in some detail, the evidence for a possible negative or adverse impact. It ensures policy, strategy and project teams have researched and consulted with the equality target groups that may be affected.
- Part B completes the assessment and leads to an action plan that will aim to minimise any negative or adverse impacts and maximise positive impacts.

Copies of all full EQIAs should be retained on file, with a copy sent to the Head of Equality & Inclusion. The public will be able to examine completed EQIA forms, if they request to see them and information about EQIAs will be available on the TfL website from March 2005.



6. General guidance

- Our aim is to try to take the perspective of our service users, customers and staff when carrying out an EQIA.
- Project leads need to be prepared for adapting the project, strategy or policy based on the EQIA assessment.
- Equality Impact Assessments are designed to be a challenging process. It is not an exact science and should involve a common sense approach.
- The form can be completed individually or within a team.
- library searches
- internet searches
- advice from internal and external specialists
- staff with previous involvement of direct implementation of a similar project/policy.
- It is particularly important that project leads realise they have a legal duty to assess the impact of the strategy, policy or project on black and minority ethnic communities and to consider the promotion of race equality.

In fact part (b) of section two may need to be completed some months after the rest of the EQIA.

- Completing the form(s) is similar to doing a risk assessment. It involves predicting and assessing what the implications of a policy, strategy or project will be on a wide range of people with different and varied needs. You can access the support and advice from various sources—team members; managers and the Equality and Inclusion team.
- Do not spend too long on the initial screening. At the screening stage, TfL is trying to assess obvious negative or positive impact or, importantly, gaps in our knowledge about likely impact.
- The screening should make full use of the following:
 - project lead's and the project team's professional knowledge of the issue and/or personal experience
 - previous consultation results
 - analysis of previous complaints, comments, evaluations and monitoring
 - research and reports
- Question 5 of section one of the EQIA form can be difficult to answer in areas where there is little, or no information. In these cases, it is recommended to note the lack of data and move on to the next part of the form. The lack of data should not be a reason to halt the process or not complete the form.
- If the likely impact on the different equality target groups is not known, then the project lead or project team needs to take action to acquire that information. (see page 14 for Action Plan)
- The best way to find out if a policy or project is likely to impact negatively or positively on equality target groups is to find out if research or data already exists through TfL's research libraries in the Equality & Inclusion Team/Central Customer Research. Or to directly consult representatives of those groups or relevant specialist organisations. Details of such organisations should be obtained from the Community & Voluntary Stakeholder Team within Group Public Affairs/Equality & Inclusion Team.

- For a large or significant project, project leaders may wish to allow for the cost of assessing the project in the budget. For example, it may be appropriate to pay for a consultant or expert from a voluntary sector organisation to carry out the EQIA or support the process.
- Following the completion of an EQIA, the project lead should outline any changes required to the policy or project and other actions required. The need for TfL to collect or obtain data on certain issues could be one such action (such as commissioning research or carrying out monitoring).

7. Partnership projects

TfL aims to be an exemplary organisation in relation to equalities and to champion equal opportunities across London. The statutory requirements to assess the impact of policies and functions on race equality apply to partnerships and contractual relationships.

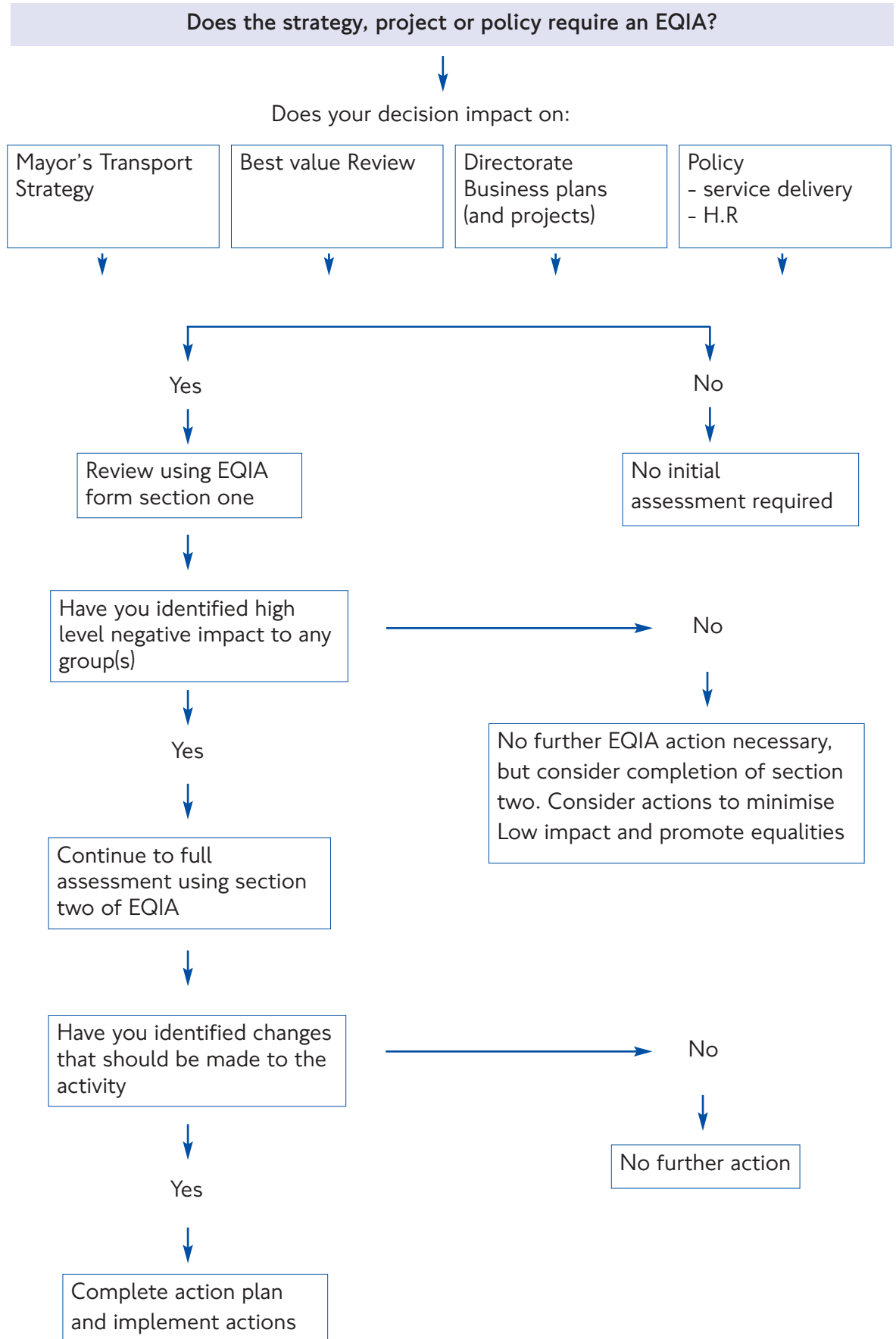
The EQIA procedures apply to all projects and policies where TfL is the lead agency in a multi-agency project or a TfL group project. TfL is the lead agency if the project or policy was initiated by TfL and the monitoring,

evaluation and strategic overview of the implementation lies with TfL, even if TfL is not the operational lead.

On joint projects and initiatives where TfL is not the lead organisation, the TfL officer should raise the issue of the need to carry out an equalities impact assessment in order to comply with the requirements of the Race Relations (Amendment) Act. TfL should carry out an EQIA screening before deciding to participate in the project.



8. Equality Impact Assessments



Equality Impact Assessment form

A copy of this form will be available on the intranet from July 2004.

Section one – Screening

Name of strategy, project or policy:

Officer completing assessment:

Telephone: _____

1. What is the main purpose of the strategy/project/policy?

2. List the main activities of the project/policy (for strategies list the main policy areas):

3. Have you explained your policy to people who might be affected by it directly or indirectly?

4. Who will be the main beneficiaries of the strategy/project/policy?

5. Please complete Table 1 and give reasons for negative impact.

(a) where you think that the strategy/project/policy could have a negative impact on any of the equality target groups i.e. it could disadvantage them and impact is high complete full assessment

(b) where you think that the strategy/project/policy could have a positive impact on any of the groups or contribute to promoting equality, equal opportunities or improving relations within equality target groups.

Equality target group	Positive impact - it could benefit		Negative impact - it could disadvantage		Reason
	Legal	Intended	Level high	Low	
Equal opportunities/ or improved relations					
Gender					
Women					
Men					
Race					
Asian or Asian British people					
Black or Black British People					
Chinese people and other people					
People of mixed race					
White people (including Irish people)					
Disabled people					
Lesbians, gay men and bisexuals					
Transgender people					
Older people (60+)					
Younger people (17-25) and children					
Faith groups					

Notes: Faith groups cover a wide range of groupings the most common of which are Muslims, Buddhists, Jews, Christians, Sikhs, Hindus. Consider faith categories individually and collectively when considering positive and negative impacts.

The categories used in the Race section are those used in the 2001 census. Consideration should be given to the needs of specific communities within the broad categories such as Bangladeshi people and to the needs of other communities such as Turkish/Turkish Cypriot, Greek/Greek Cypriot, Italian and Polish that do not appear as separate categories in the census.

6. What improvements to the strategy, project or policy could mitigate adverse impact? Explain how:

7. Do we need to consult on this policy?

8. Have you set up equality monitoring systems to carry out regular checks on the effects your policy has on:

- a) racial groups
- b) other equality target groups

9. Have you introduced changes you planned, with any necessary training? Does everyone involved in the policy know and understand what you have done? Are they able to put the policy into practice?

10. How do we measure the success of the policy and functions?

11. What are your performance indicators for this policy?

Please sign and date this form, keep one copy and send one copy to the Head of Equality & Inclusion.

Date of completion _____

Form completed by _____

Section two – Full assessment

Name of strategy, project or policy:

Date: _____

Part A

1. Looking back at section one of the EQIA, in what areas are there concerns that the strategy, policy or project could have a negative impact?

- Gender
- Race
- Disability
- Sexuality/Transgender
- Age
- Faith

2. Summarise the likely negative impacts and/or consider research studies *.

3. As a result of this assessment and available evidence is it important that TfL commission specific research on this issue or carry out monitoring/data collection?

*Contact public affairs for details on advice and consultation

*Contact Equality and Inclusion for a guidance and research information on target groups.

4. What consultation has taken place/or will occur with equality target groups?
Give details

5. What consultation/communication has taken place/or is planned with TfL staff, for implementing purposes

Part B

Complete this section when consultation and research has been carried out

6) As a result of this assessment and available evidence collected, including consultation, state what changes are proposed to your policy, strategy or project. (You may wish to put this information directly onto the action sheet at the end of this form)

7. Will the changes planned ensure that negative impact is:

- Legal? (not discriminatory, under anti-discriminatory legislation)
- Intended?
- Low impact?

8. How will this monitoring/evaluation further assess the impact on the equality target groups/ensure the strategy/project/policy is non-discriminatory?

Details:

Please complete the action form below, sign the EQIA, retain a copy and send a copy of the full EQIA, including Action Plan to the Head of Equality & Inclusion.

Date of completion _____

Form completed by _____

Equality impact assessment action plan

Please list below any recommendations for action that you plan to take as a result of this impact assessment.

Issue	Action required	Lead Officer	Timescale Resource	Implications	Comments

Notes

Other formats and languages

For a large print, Braille, disc, sign language video or audio-tape version of this document, please contact us at the address below:

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