

Appendix 5
EQUALITIES AND HUMAN RIGHTS IMPACT ASSESSMENT (EqIA) TEMPLATE

STAGE ONE: INITIAL SCREENING

1	Basic information
Name of organisation	Southwark Council
What is being assessed?	<p>This EqIA relates to the three-phase assessment process for applications to the second round of the £1.5m Transition Fund for voluntary and community sector organisations for 2011/12 and 2012/13.</p> <p>The fund is designed to help VCS organisations with a longstanding relationship with the Council to adapt to the challenges of reduced public sector funding through greater sustainability, including:</p> <ul style="list-style-type: none"> • Development of fundraising strategies/funding bids • Support with business plan development • Enabling development of mergers and collaborations • Enabling sharing of back office costs/shared services • Development of initiatives that will support third sector organisations to engage with the personalisation agenda • New models of service provision/innovation/ doing it more effectively and efficiently/ and realising savings <p>The fund is not intended to replace lost funding or cover running costs for existing service delivery.</p> <p>Transition Fund – Round 1</p> <p>In February 2011, as part of the first round of the Transition Fund, all voluntary sector organisations that were then funded by the council were written to inviting them to apply to the fund. The availability of this fund was also promoted via the council’s website and Community Action Southwark’s (CAS) e-bulletin, helping to ensure CVS organisations were well informed about the fund.</p> <p>All council funded voluntary sector organisations were provided with guidance on the application process and criteria against which their applications would be assessed. CAS was also available to support and advise on the application process in an effort to maximise take-up of the funding and ensure groups that needed additional support could obtain it.</p> <p>As a result of openly advertising the Transition Fund in February 2011 a total of 91 applications for the £1m fund were submitted totalling £2,061,908. The applications received fall within the thematic funding programmes administered by several council departments.</p> <p>During round 1 the need for a second round was identified due to the fact that several departments had still not made decisions on allocation of funding for 2011/12. In addition a number of organisations also had applications to the National Lottery Transition Fund pending at that time which required organisations to demonstrate 30% reduction in tax payer income. As a result a number of applications were held over for Round 2. These applications did not need to be resubmitted.</p>

Groups that were not recommended during the first round (e.g. because their funding status was not yet confirmed, or because of failure to meet all the criteria) had the opportunity to reapply for funding during the second round. Individual feedback was given to all groups who submitted applications to the transition fund to support and facilitate this process.

Transition Fund – Round 2

On 18 April 2011 the second round of the transition fund was launched and once again all voluntary sector organisations currently funded by the council and who did not receive Transition Funding in the first round were written to. Organisations whose applications were held over from Round 1 were informed that they were not required to submit revised applications unless they wished to do so and/or wished to submit additional information. The availability of this fund was promoted via the council's website and Community Action Southwark's (CAS) e-bulletin. CAS was also available to support and advise on the application process in an effort to maximise take-up of the funding. Groups had 4 full weeks to submit their applications with a closing date of 13 May 2011.

As a result of openly advertising the Transition Fund in April 2011 a total of 49 applications for Transition fund were submitted totalling £917,853 rounded down. The applications received fall within the thematic funding programmes administered by several council departments and these were forwarded to the relevant commissioners.

All unsuccessful organisations were sent letters outlining the reasons and offering the opportunity for further feedback. If requested, further information or clarification was provided by telephone. One general weakness identified was some organisations' ability to clarify specify outcomes and it is proposed that a programme of support and training in put in place in partnership with CAS in an attempt to address this.

The assessment process

The same assessment process was followed during the first and second rounds of the Transition Fund.

Stage 1 - Red

During the first phase of the assessment the status of the organisation applying for funding was established to ensure relevant criteria was met (e.g. funded by council, delivering services in Southwark, levels of reserves). This was carried out by members of the voluntary sector commissioning team, who routinely commission services and administer grants to the voluntary sector for activities to address inequality and disadvantage.

Applications were scored and those that met the criteria were moved onto the next stage of assessment.

Stage 2 – Amber

The second phase of the assessment related to establishing the:

- impact of funding reductions on both service users and individual organisations, and
- evidence of innovation and reconfiguration.

This stage was overseen by an advisory panel made up of representatives

from service departments in the council involved in commissioning services from CVS organisations, and Community Action Southwark. Applications were scored against the relevant criteria and were either recommended for funding or not.

Specific criteria were included at this stage to identify the potential impact on service users and organisations of multiple funding reductions. This information was shared with all departments and will inform future commissioning of services in order where possible to identify alternative services for users of organisations facing closure or critical impact on service delivery.

Service area representatives on the advisory panel were involved in the recent process of equality impact assessing budget reductions in their departments. Therefore, knowledge and awareness of the profile and needs of services users, and current or potential disproportionate impacts on groups and organisations was brought into the assessment process. Furthermore, certain criteria in stage two of the assessment process served to enable the identification of potential impacts on equalities groups.

The Social Care Innovation Fund and how this fund will support the needs of older people accessing day centres was factored into the discussions. Similarly, the fundraising support given to organisations that fall within the Out of School Hours Study Support Programme was also taken into consideration.

The methodology of having departmental representatives has meant that there has been full consideration of impacts on organisations which work across thematic areas, some of which are limited to particular groups eg older people, people with disabilities, etc. This co-ordinated cross-cutting approach meant that it was possible to factor in impact on communities of interest.

As the Community Support programme is at standstill for 2011-12, the impact on this area will not fall in the current financial year.

Next steps: Round 3

The total funding that has been recommended at this stage is £531,106 (£376,004 in Round 1 and £155,102 in round 2).

There will be a further Round 3 later this year. The same criteria will apply to the previous rounds. This will enable organisations to apply that have not previously had the opportunity to do so, including those with currently pending National Transition Fund applications.

Organisations that have applied to Rounds 1 and 2 unsuccessfully will also be able to apply to Round 3.

A number of organisations funded through the Out of School Hours Study Support Programme applied to Round 2. Those that have been unsuccessful will be advised that a consortium bid is more likely to satisfy the assessment criteria for Round 3.

Further work will be done before Round 3 of the fund to identify the profile of the groups that have applied to the previous rounds and to assess how the process has impacted on groups which are run by, or have service users predominantly from a certain ethnic/gender/disability/ age/religious belief/sexual orientation group.

Aim and objectives of process	<p>The three-phase process was designed to provide a robust, fair and transparent assessment framework for applications to the transition fund.</p> <p>The aim of the fund is to mitigate the effect of the reduction in public sector funding on voluntary sector organisations and as such this equality impact assessment is an essential tool to assist the Council in complying with its equalities duties and ensuring that decisions are made fairly.</p>
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4 Establishing Relevance	
<p>Indicate on the following grid whether the proposal being assessed will have an adverse impact on communities related to <u>each</u> of the equality areas listed below. Where possible, address each equality strand in turn.</p> <p>Will it contribute to <u>inequality</u> or have a negative impact on:</p> <ul style="list-style-type: none"> ▪ equal opportunities i.e. will it benefit or disadvantage certain groups on the basis of the grounds listed below?¹ ▪ the elimination of discrimination i.e. will it have a disproportionate impact on any of the groups listed below? ▪ promoting good relations i.e. is there are risk that it will lead to worsening relations between members of different groups or exacerbate tensions between communities? 	
EQUALITY STRAND	MIGHT THERE BE AN ADVERSE IMPACT? Briefly explain why
Race	<p>The transition fund process should have a positive impact as it is designed to help VCS organisations adapt to the challenges of reduced public sector funding through greater sustainability. It involves a fair and transparent assessment process based on clear criteria, with support available to groups requiring it.</p> <p>There will be a further opportunity for unsuccessful groups to apply in round 3, after having received individualised feedback on their round 2 applications.</p> <p>In the light of experience from the first round, the application form and guidance notes were amended for the second round to make them clearer, in particular the question on outcomes. Organisations were also given a longer period of time in which to submit their applications – four full weeks.</p> <p>The Community Support programme which funds communities of interest organisations is not subject to budget reductions for</p>

¹ Special consideration is also to be given to Gypsies and Travellers, refugees and asylum seekers and people living on low incomes.

	the current year so groups solely reliant on this funding will not have had a budget reduction and will not have satisfied the assessment criteria.
Gender	<p>The transition fund process should have a positive impact as it is designed to help VCS organisations adapt to the challenges of reduced public sector funding through greater sustainability. It involves a fair and transparent assessment process based on clear criteria, with support available to groups requiring it.</p> <p>There will be a further opportunity for unsuccessful groups to apply in round 3, after having received individualised feedback on their round 2 applications.</p> <p>See above re changes made to the process for round 2 in the light of experience from round 1.</p> <p>The Community Support programme which funds communities of interest organisations is not subject to budget reductions for the current year so groups solely reliant on this funding will not have had a budget reduction and will not have satisfied the assessment criteria.</p>
Disability	As above.
Religion/belief	As above.
Sexual Orientation	As above.
Age	As above.
Human Rights²	As above.
Gender re-assignment³	As above.
Pregnancy and Maternity⁴	As above.

² The following two links provide useful guidance on the relevance of human rights generally, and specifically within the public sector: www.justice.gov.uk/guidance/docs/human-rights-making-sense-human-rights.pdf, www.justice.gov.uk/guidance/docs/human-rights-handbook-for-public-authorities.pdf

³ This strand or 'protected characteristic' is part of the new 2010 Equality Act and requires consideration

⁴ Ibid.

Assessment completed by:	
Name & Division	
Date	

Cabinet Member:	
Name	
Date	

STAGE TWO: FULL IMPACT ASSESSMENT OF BUDGET PROPOSAL

1	Please attach your Stage One equality impact assessment
2	Budget proposal detail
Please provide details of your budget proposal.	The Transition Fund is designed to mitigate the impact of budget reductions.
Please provide justification for the above proposal. <ul style="list-style-type: none"> ○ How has the screening process informed this proposal? ○ Has anything changed since stage one screening? ○ Have you consulted with other departments on any potential cross cutting impacts arising from stage one screening? [particularly in relation to multi-funded organisations] 	<p>As stated above, the application form and guidance notes were amended for the second round to make them clearer, in particular the question on outcomes. Organisations were also given a longer period of time in which to submit their applications – four full weeks.</p> <p>Departmental commissioning officers were consulted throughout the process to establish a full picture of funding reductions for each organisation.</p>
3	Assessment of impact
Which equality groups will be disproportionately affected by the proposed funding reduction? Why? <ul style="list-style-type: none"> ▪ What is the <u>level of need</u> for the service or function in relation to the equality group? ▪ What is the <u>level of use</u> of the service or function in relation to the equality group? 	It is important to state that the whole approach of this process has been to mitigate the impacts of reduction in funding by providing organisations with the opportunity to make a transition to a sustainable model.
What evidence has informed your conclusion of disproportionate impact? (e.g. surveys, research, feedback, Fairer Future or Spending Challenge consultations, monitoring)	
Are there any evidence gaps? <ul style="list-style-type: none"> ▪ Do we need qualitative analysis e.g. consultation/focus groups 	<p>Before the next round of the Transition Fund work will be done to consider the profile of groups applying to the fund and considering whether this has any implications for any of the groups falling within the equalities strands.</p> <p>Southwark Forum for Equalities and Human Rights will be included in the consultation process.</p>

<p>If there is potential for disproportionate impact or discrimination</p> <ul style="list-style-type: none">▪ What kind of discrimination is it (direct/indirect)?▪ Can it be justified? How?	<p>The fund itself is designed to mitigate the effects of disproportionate impact arising from budget reductions.</p>

STAGE THREE: ACTION PLAN

What action will be taken as a result of this Impact Assessment to mitigate the adverse impact of the funding proposal on the specific group/s?	Action	Intended Outcome	Completion date	Officer
<p>What practical changes could be made to:</p> <ul style="list-style-type: none"> ▪ Ensure everyone who needs service is able to ▪ Improve the positive effects for people of the equality strands ▪ Eliminate any negative effects or impacts ▪ Improve how you communicate the service to existing/potential users ▪ Promote community cohesion <p>For commissioned services:</p> <ul style="list-style-type: none"> ▪ What coordination around funding and support has been provided? 				

Assessment completed by:	
Name & Division	
Date	

Cabinet Member:	
Name	
Date	