



DERBY CITY COUNCIL

Equality Impact Assessment (EIA)

Revenue Budget 2011/12 – 2014/15

Equality impact, needs and requirements assessment form

Please use this form to record your findings, proposed actions, equality objectives and targets. Use the guidance notes to help you do the assessment or contact the Equality Standard Project Manager if you need some advice

About the policy, practice, service or function you are assessing

Name of policy, practice, service or function: **Revenue Budget 2011/12 – 2014/15** This high-level EqIA has been conducted to ensure that any decision made complies with anti-discrimination legislation. It focuses on outputs from the 2011/12 budget and a threshold of decisions made that equal 1% or more of the total budget. Without full consideration and assessment, financial decisions may have unintended consequences that not only impact on equality, but also run the risk of failing to meet the authorities legal responsibilities.

Assessment team leader name: **Chloe Kenny**

Department responsible: **Finance**

Service Area: **Corporate Finance**

Other members of assessment team:

Name	Position	Area of expertise	Comments
Chloe Kenny	Head of Corporate Finance	Finance, accounting, data and monitoring knowledge	Relevant and appropriate employee
Andrea Croud	Principal Accountant - Corporate	Finance, accounting, data and monitoring knowledge	Relevant and appropriate employee
Martyn Marples	Director of Finance and Procurement	Finance, accounting, data and monitoring knowledge	Relevant and appropriate employee
Toni Heathcote	Head of Finance - Neighbourhoods	Finance, accounting, data and monitoring knowledge	Critical friend
Alison Parkin	Head of Finance – Children and Young People	Finance, accounting, data and monitoring knowledge	Critical friend
Ann Webster	Equality and Diversity Lead – Derby City Council	Equalities and inclusion issues	Critical friend
Kirit Mistry	Executive Director at Derby Racial Equality	Equalities and inclusion issues	Critical friend

Name	Position	Area of expertise	Comments
	Council		
Andy Findlay	Resident of Derby	Access and uptake of DCC services	Critical friend
Moira Findlay	Resident of Derby	Access and uptake of DCC services	Critical friend
Maggie Fennell	DECATs & Transformation Officer	Equality and Diversity	Chair of DEN (DCC – Disabled Employees Network)
Equality and Diversity Working Group	Various	Various including equalities and inclusion issues	Critical friend(s)

Question	Response/ findings
What are the main aims and objectives or purpose of the policy, practice, service or function that you are assessing?	<p>The main aim of the Revenue Budget 2011/12 to 2014/15 is to meet the statutory duty to produce a balanced financial plan for the Council for the next four years. This will then form the basis of the Council's financial activities over that period, and provides a baseline against which budget monitoring can be carried out. Additional information contained within the Revenue Budget includes:</p> <ul style="list-style-type: none"> ▪ how we work with our partners ▪ how we support the Sustainable Community Strategy, SCS ▪ how budgets and performance are managed ▪ how we manage the performance of our staff to deliver our corporate objectives <p>This EqIA examines budget proposals for 2011/12 and determines perceived levels of positive and negative impacts against the 6 strands of equality. Specific EqIAs are proposed to be conducted against significant or material changes in service delivery which arise as a result of reductions in funding.</p>
Who implements, carries out or delivers the policy, practice, service or function? Please state where this is more than one person, team, department, or body – and include any outside organisations who deliver under procurement	The Revenue Budget is owned by Members and Chief Officers. Each individual budget line is delivered by budget managers within the Council, supported by the Council's Finance department.

Question	Response/ findings
arrangements	
Question	Response/ findings
Who is affected by the policy, practice, service or function, or by how it is delivered? Such as, who are the external and internal customers, groups, or communities?	<p>All internal and external customers, residents, businesses and people visiting the city could be impacted by the information set out within the Revenue Budget as many spending plans cut across all directorates and services.</p> <p>Internally, staff may also be impacted by a change in the objectives as this could result in a shift in resources. Moreover, the milestones set out within the Plan will have specific implications for some staff as they will lead to more work or a change in the focus of their work. These changes will be noted within the Management of Individual Performance scheme.</p>
Question	Response/ findings
<p>What existing or previous inspections of the policy, practice, service or function are there? For example, Best Value Inspections, policy reviews, research into the effects of a policy or practice.</p> <p>What did they tell you?</p>	<p>Review 1 –</p> <p>The initial budget summary following the announcement of the Local Government Settlement in December 2010 was reported to members, Trades Unions and more widely via local and national media outlets. All staff were updated by the CEO in an email describing the initial position.</p> <p>Review 2 –</p> <p>The monitoring of the budgets once set. These are reviewed on a quarterly and annual basis by Members and Chief Officers to make sure that they continue to reflect the priorities of the Council and its partners.</p> <p>Review 3 –</p> <p>Efficiency targets and specific links to national, regional and local performance indicators are regularly reported on and updated. Many</p>

Question	Response/ findings
	through a series of regulated Government returns.

Identifying potential equality issues and factors

Question	Response/ findings
What do you already know about the equality impact or need? For example, from research, feedback, consultation or any performance monitoring	Consultation and feedback has been obtained from the Trades Unions and Members and Chief Officers on the initial budget position. Wider consultation, including with employees, on specific proposals to achieve a balanced budget will take place over a 2 month period.
Is there any evidence of higher or lower take up under the policy or practice, or of the service or function for any particular groups? For example, who uses the service, who doesn't and why not?	<p>In respect of the Budget, as in other years; many services are universally provided. Others have very targeted and specific focuses. The Council works in partnership with statutory bodies such as the Police, Fire and Rescue Services and the Primary Care Trusts and uses a wide range of validated data to check and ensure that the services it provides or procures are legal, safe and equitable.</p> <p>The 2011/12 Budget is produced within a legal framework and an established continuum of guidance. Many elements of performance are subject to independent inspections and extensive regulatory regimes.</p>
Have there been any important demographic changes or trends locally? For example is the population changing, and if so, how and what might that mean for the service or function?	<p>Derby has an increasingly ageing and diverse population. There are pockets of deep social deprivation and areas of relative wealth. The economic situation and recent recession has affected local residents, communities and businesses. The Census is due to be conducted this year but we know that there has been a noted increase in the range and diversity of communities since the 2001 census.</p> <p>This has had an impact on the type and level of access to information required. The full budget summary once agreed will be available in the</p>

	<p>Council Tax leaflet, the content of which is available in 16 different languages.</p> <p>The budget proposals can be translated or individual interpretation sessions can be arranged. It is also made available in a different formats, such a larger typefaces or different fonts.</p>
Question	Response/ findings
Is there an indication that any of the policies or practices involved with the service or function creates particular problems or difficulties for any groups of customers or communities?	Feedback from Members, Trades Unions and internal and external groups indicate that they feel that the budget proposals are open to scrutiny and challenge. Some decisions made in light of a reduced level of grant or changes in policy have proven to be highly contentious and unpopular. Further explanation of the rationale behind decisions made has been sought on a number of matters and motions were made at full council (a public meeting) 02/03/11. This appropriate place and venue. Petitions in relations to some matters; such as the reconfiguration of Childrens' Centres provision were received.
What information or data exists? For example, statistics, customer feedback, complaints, research, monitoring – who keeps it and can you get hold of it?	Detailed information/data relating to the content of the budget proposals, by department and cost heading is available. This data is held by the Corporate Accountancy Team.
Question	Response/ findings
Does any equality or diversity objectives already exist? If so, what are they and what is current performance like against them?	<p>The impact of changes in funding, including removal of funding and the resultant pressures have been examined as part of the budget process. Each significant and materiel change in policy, practice or delivery will be subject to an individual and specific EqIA.</p> <p>The (Derby) Corporate Plan 2010/11 contains an equality milestone – “Achieve excellence in the new Equality Framework for Local Government by March 2011.</p> <p>Already established indicators of commitment to equality and knowing the communities served are contained within the DCC Equality Scheme and Action Plan. The council promotes itself as an employer of</p>

	<p>preference and repute and has sought and retained significant external accreditation to support this assertion. For example, GIS, Two Ticks, Stonewall top 100 Equality Index, Investors in People, Chartermark and CSE and Legal Services accreditation.</p>
<p>Is the service having a positive or negative effect on particular people in the community, or particular groups or communities?</p>	<p>The budget will have an impact on all groups of the community and all those contain protected characteristics. There will be inevitable effects on services and delivery; however, there is no clear evidence of any illegal or unmitigated potentially negative impacts.</p> <p><u>All</u> groups and individuals have an opportunity to comment on the revenue budget proposals. Specific events have been held to provide for a more inclusive consultation and the results have been feedback to CoG and through this EqIA.</p>

Collecting the information and data about how the policy, practice, service or function, impacts on communities

Please record your information and data in this table and think about:

- what information or data you will need
- using both quantitative and qualitative data
- making sure that where possible there is information that allows all perspectives to be considered
- identifying any gaps in the information/ data and what it can tell you

Data or information	When and how was it collected?	Where is it from?	What does it tell you? You need to consider all six equality strands where you can	Gaps in information

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Customer feedback and complaints	From January – March 2 nd . 2011	Consultation Events and internet and other surveys and correspondence.	There is evidence to suggest that no-one individual or group have been unable to contribute to this exercise. Some decisions have been challenged and further rationale provided.	Sexual Orientation and religion. Belief and non-belief data is scantily recorded and meaningful reports will not be drawn from systems
Consultation and community involvement	Diversity Forum Consultation Event E-form on internet and advertisements and articles in local media.	Letters, phone calls and survey results. Groups and individual feedback.	There is evidence to suggest that no-one individual or group have been unable to contribute to this exercise. Some decisions have been challenged and further rationale provided.	Sexual Orientation and religion. Belief and non-belief data is scantily recorded and meaningful reports will not be drawn from systems
Performance information including Best Value	n/a	n/a	n/a	n/a
Take up and usage data	Higher than usual levels of electronic responses noted	E-form feedback from Communications Unit. CeX department.	This method increasingly popular as a feedback and	n/k

Data or information	When and how was it collected?	Where is it from?	What does it tell you? You need to consider all six equality strands where you can	Gaps in information
			communication mechanism.	
Comparative information or data where no local information	n/a	n/a	n/a	n/a
Census, national or regional statistics	2001 Census, super enumerations and mid-year estimates. Indices of Multiple Deprivation Labour Force Surveys	Office for National Statistics http://www.statistics.gov.uk/default.asp	Detail contained within EqIA.	Local information in respect of Sexual Orientation and religion. Belief and non-belief data is scantily recorded and meaningful reports will not be drawn from systems.
Access audits or assessments such as DDA assessments	Feedback from Consultation events and via CEx department.	The consultation document and access arrangements are available to be interpreted or translated or provided in non standard formats.	Adequate and appropriate access to information is the key to quality consultation. There is evidence to suggest that no-one individual or group have been unable to contribute to this exercise.	Sexual Orientation and religion. Belief and non-belief data is scantily recorded and meaningful reports will not be drawn from systems.

Data or information	When and how was it collected?	Where is it from?	What does it tell you? You need to consider all six equality strands where you can	Gaps in information
Workforce profile	Current staffing profile	http://www.derby.gov.uk/NR/rdonlyres/E46C5E27-0173-4D20-8523-33FF107D572A/0/DCC_employment_stats_0809.pdf	That the workforce in April 2010 broadly reflected the wider community served and that initiatives in place to address under representation have had some degree of success.	Orientation and religion. Belief and non-belief data is scantily recorded and meaningful reports will not be drawn from systems.
Where service delivered under procurement arrangements – workforce profile for deliverers	n/a	n/a	n/a	n/a
Monitoring and scrutiny outcomes	This EqIA will be examined for quality and rigour by the Equality and Diversity Task Group	DCC internal records and minutes of meetings.	n/k	n/k

Analysing the information and data and setting equality objectives and targets

Please give your detailed findings in this table

Service or function	Policy or practice	Findings	Which groups are affected and how	Whose needs are not being met and how?
Revenue Budget Consultation Process 2011/12 – 2013/14	To provide a balanced financial plan for the Council for the next four years.	<p>That there are low, medium and high impacts noted against all 6 strands of equality.</p> <p>That consideration has been given to the interplay between services.</p> <p>That mitigation may be needed to ensure that negative impacts are addressed and this is evidence in a series of priorities and risk assessments.</p> <p>That vulnerable individuals interests are protected.</p>	<p>Universally the residents of and visitors to the city of Derby.</p> <p>Businesses and stakeholder partners, such as the PCT.</p> <p>This includes for example; Children and Older people, Disabled children and Adults, Tran gendered people and men and women, People of minority ethnicity, Gay, Lesbian and Bi-sexual people, People with a faith or belief or no-belief.</p> <p>Individuals who have one or more of the protected characteristics proscribed in law.</p>	<p>The Council seeks to uphold its responsibilities and to further demonstrate a commitment to recognising and celebrating diversity and equality.</p> <p>Through the Derby Plan Sustainable Communities Strategy and rigorous monitoring against testing targets. The Council seeks to ensure delivery of high quality services to the population it serves and to reflect that population within its own profile and make up.</p>

Objectives - process, impact or outcome based

Please give your proposed objectives/ targets in this table

Objective/Target:	To ensure that those likely to be affected by the proposals have been consulted and involved.
Specific	Work with Consultation Groups, e.g. neighbourhood forums, equality, diversity and disabled groups etc. To discuss the details of the main proposals for the Council's budget plans for 2011/2012 to 2013/14.
Measurable	Amount of feedback on the budget consultation pack.
Achievable	Action to be integrated into the budget plan for 2011/12 to 2013/14.
Relevant	This objective aims to minimise barriers in the communication of the budget and the way that feedback is received.
Timed	Action to be completed by February 2011.

Objective/Target:	To ensure that all the purpose of the financial proposal is clearly set out.
Specific	That documents are clear and understandable
Measurable	Challenges and feedback
Achievable	Action to be integrated into the budget plan for 2011/12 to 2013/14.
Relevant	This objective aims to minimise barriers in the communication of the budget and the way that feedback is received.
Timed	Action to be completed by February 2011.

Objective/Target:	The potential positive and negative impacts been identified and further EqIAs planned
Specific	The high level EqIA is thorough and complete and triggers a schedule of specific EqIAs
Measurable	Scrutiny and Peer- review and regular monitoring
Achievable	Action to be integrated into the budget plan for 2011/12 to 2013/14.
Relevant	Equality and Diversity Scheme and Action Plan
Timed	Action to be completed by February 2011.

NB – It should be noted that the budget process is reviewed each year and the budget will change.

Monitoring and reviewing - incorporating into performance management

Please summarise your objectives and targets in this table with your proposed monitoring and reporting arrangements

Objective	Planned action	Target performance			Responsible lead officer	Reporting cycle, for example, quarterly
		2011/12	2012/13	2013/14		
Appropriate Consultation	Holistic Exercise	CoG report	CoG report	CoG report	CEx	Annual -post budget setting
Clarity of Purpose	Identify and address barriers	Increased uptake on 2010/11	Increased uptake on 2011/12	Increased uptake on 2012/13	CFO	Annual -post budget setting
Targeted Action/Activity	Specific EqlAs	100% as scheduled	100% as scheduled	100% as scheduled	CEx – SDs - CoG	Annual -post budget setting Quarterly – Eqs & Div task Group

Corporate priorities and objectives 2010/11

At Derby City Council our aim is to tackle key objectives across the five priority city areas of Derby's Sustainable Community Strategy, creating a City for Children and Young People, a City of Growth, a City with Stronger, Safer and Cleaner Communities, a Cultural City and a Healthy City.

Our sixth priority is Council Development, to put us in the best position to provide innovative customer focused services.

Our major corporate objectives, as outlined in the Corporate Plan are:

City for Children and Young People

CYP1	To ensure that all parents who need support know where to turn to and benefit from a range of appropriate and accessible services.
CYP2	To build ambition, aspiration and achievement.
CYP3	To ensure the physical, emotional well-being and safe choices.
CYP4	To ensure safety, belonging and being valued in the community.

City Growth

CG1	To help create a healthy, vibrant economy with the physical and educational infrastructure to sustain the prosperity of business and citizens.
CG2	To continue to develop and deliver integrated land use and transport strategies for the city.
CG3	To regenerate Derby's neighbourhoods.
CG4	To use Derby's cultural offer as a driver for regeneration and prosperity.
CG5	To contribute to reducing the effects of climate change in Derby.

City for Stronger, Safer and Cleaner Communities

SSC1	To promote local democracy and active citizenship.
SSC2	To improve levels of safety and cleanliness and to develop confidence and pride across our communities and neighbourhoods.

Cultural City

CC1	To improve the range and quality of Derby's cultural and leisure opportunities and facilities.
CC2	To celebrate diversity and ensure everyone has the opportunity to take part in cultural and leisure activities.

Healthy City

HC1	To increase choice and control to support independence.
HC2	To increase the range and quality of regulated and non-regulated adult social care services.
HC3	To improve well being, and tackle health inequalities through the development of programmes and facilities that promotes active recreation, participation and sport.
HC4	To deliver accessible, high quality, inclusive Housing and Advice Services.

Council Organisational Development

COD1	To create a modern, efficient and effective organisation through the 'one Derby one council' transformation programme.
COD2	To deliver value for money across all services.
COD3	To effectively manage the Council's reputation.
COD4	To ensure managers are trained in order to develop the skills and competencies to lead and manage an effective service.
COD5	To continuously improve support services across the Council to facilitate the delivery of excellent customer-focused services.