Shropshire Council Equality and Social Inclusion Impact Assessment (ESIIA)

Name of service change: *Local Transport Plan (LTP) 4: initial development 2018*

Contextual Notes 2016

The What and the Why:

The Shropshire Council Equality and Social Inclusion Impact Assessment (ESIIA) approach helps to identify whether or not any new or significant changes to services, including policies, procedures, functions or projects, may have an adverse impact on a particular group of people, and whether the human rights of individuals may be affected.

This assessment encompasses consideration of social inclusion. This is so that we are thinking as carefully and completely as possible about all Shropshire groups and communities, including people in rural areas and people we may describe as vulnerable, for example due to low income or to safeguarding concerns, as well as people in what are described as the nine 'protected characteristics' of groups of people in our population, eg Age. We demonstrate equal treatment to people who are in these groups and to people who are not, through having what is termed 'due regard' to their needs and views when developing and implementing policy and strategy and when commissioning, procuring, arranging or delivering services.

It is a legal requirement for local authorities to assess the equality and human rights impact of changes proposed or made to services. Carrying out ESIIAs helps us as a public authority to ensure that, as far as possible, we are taking actions to meet the general equality duty placed on us by the Equality Act 2010, and to thus demonstrate that the three equality aims are integral to our decision making processes. These are: eliminating discrimination, harassment and victimisation; advancing equality of opportunity; and fostering good relations.

The How:

The guidance and the evidence template are combined into one document for ease of access and usage, including questions that set out to act as useful prompts to service areas at each stage. The assessment comprises two parts: a screening part, and a full report part.

Screening (Part One) enables energies to be focussed on the service changes for which there are potentially important equalities and human rights implications. If screening indicates that the impact is likely to be positive overall, or is likely to have a medium or low negative or positive impact on certain groups of people, a full report is not required. Energies should instead focus on review and monitoring and ongoing evidence collection, enabling incremental improvements and adjustments that will lead to overall positive impacts for all groups in Shropshire.

A *full report (Part Two)* needs to be carried out where screening indicates that there are considered to be or likely to be significant negative impacts for certain groups of people, and/or where there are human rights implications. Where there is some uncertainty as to what decision to reach based on the evidence available, a full report is recommended, as it enables more evidence to be collected that will help the service area to reach an informed opinion.

Shropshire Council Part 1 ESIIA: initial screening and assessment

Please note: prompt questions and guidance within boxes are in italics. You are welcome to type over them when completing this form. Please extend the boxes if you need more space for your commentary.

Name of service change
Local Transport Plan (LTP) 4: initial development 2018

Aims of the service change and description
Shropshire Council, is required to procure a new Local Transport Plan (LTP) . The draft LTP will be presented to Cabinet for consideration in approximately a year from the date of this report. Further approval will be sought from Cabinet to consult upon the "approved" final draft with the subsequent implementation plans. The results of that consultation will be presented to Council for adoption as a key strategic document of Shropshire Council. Shropshire Council has a statutory duty to have a Local Transport Plan (LTP) via the Local Transport Act (LTA) 2008. The existing LTP document now needs to be replaced, predominantly to reflect the forecasted pressure on the county's transport system, housing growth and the need to harness economic growth as part of the Council's wider strategic direction. A further duty, introduced in the Local Government and Public Involvement in Health Act 2007, requires local authorities and passenger transport authorities to involve citizens in local decision making and service provision. LTP4 will span the period 2018 to 2028. Thus the LTP will assist in focussing thinking on the infrastructure required for transport, how this is facilitated, delivered and located and in its part is indivisible from the Economic Growth and Planning agenda. The document acts as an evidence base and facilitation document across these individual and collective disciplines. This report seeks approval to commission and undertake extensive consultation across all sectors to support and evidence the Council's policies and strategic approach to transport in the years to come. Then subject to Cabinet approval, to consult on the final draft LTP4 document with the associated implementation plans and then seek subsequent approval from Council to adopt a key strategic document of the council The Local Transport Planning process has, by common consent, brought about a step change in the way that local authorities plan strategically for transport in their areas. Good transport is a vital factor in building sustainable local communities. It contributes to the achievement of stronger and safer communities, healthier children and young people, equality and social inclusion, environmental objectives and better local economies. Where transport fails, these aspirations are put at risk, or severely curtailed. It is envisaged that LTP4 would provide a strategic plan for the development of a transport system that meets the needs of Shropshire as well as providing a framework by which Shropshire can secure investment, respond to change and manage, maintain and monitor its transport system. The proposed plan will cover all aspects of transport and highways in Shropshire, including walking, cycling, public transport, and car based travel, freight, and management and maintenance of highways and interfaces with other corporate strategies and initiatives.

Associated report to Cabinet in January 2018 requests approval to procure a new draft plan and associated strategies for further approval by Cabinet, subject to wider consultation and then to return to Cabinet for final approval / adoption of the LTP . The report asks for approval to commission and widely consult with interest groups, public agencies and associated stakeholders, in order to develop draft polices and plans for further consideration. Then to consult on a draft suite of plans and documents, thus there are at least two further consultation cycles to complete prior to a final document being approved and adopted.

An ESIIA screening assessment has indicated that stage one is appropriate at this stage. When the final report goes to Cabinet in 2019, a further Stage one screening will be undertaken in order to consider all available evidence garnered about likely impacts on groupings within the community, and help assess whether a stage 2 assessment will be required, as the issues, documentation and contract information from private organisations will be available to inform report and assessment.

Intended audiences and target groups for the service change

A list of relevant stakeholders and contact details is in preparation, coupled with publicity and various channels of engagement (meetings, social media, media releases etc.). This is to be shared and confirmed with the Project Management Team.

he Transport Act 2000 as amended, places a duty on local transport authorities, when formulating policies and plans, to consult:
- Economic growth stakeholders in order to ensure that economic growth is embedded into the draft transport plan and facilitates this and the allied planning agenda(s),
- bus operators,
- rail operators,
- public transport user groups,
- in the case of ITAs, district councils and any county councils in their area,
- in the case of county councils, district councils
- the Secretary of State, in respect of Highways Agency roads (in practice, this would be via local HA contacts),
- Public Health,
- any other people they consider appropriate (e.g. environmental organisations, disability groups).

This will ensure local representatives are given genuine opportunities to input into the draft LTP 4 document and be consulted in the final draft LTP prior to adoption.
A consultation plan is to be developed to outline key consultation milestones and how key user groups will be accessed and their views surveyed. It is anticipated that much of the consultation can be web based, supported by appropriate media coverage. It is anticipated that WSP will produce the material to be used and manage the consultation exercises.

A briefing for senior managers, key officers and Members is to be organised, the purpose of the briefing will be to provide an overview of the draft LTP document and the forthcoming consultation with the general public.

All of the above will contribute towards the final draft strategy and implementation plans being

presented for final consultation and subsequent approval by Council during 2018.

Evidence used for screening of the service change

A range of data is to be identified, collated and presented to provide an overview of evidence, context and challenge against which the draft LTP 4 strategy will be developed:

- Travel patterns and trends / car availability
- Demographics
- Development pressures
- Public satisfaction
- Road network

Suggested sources are the National Travel Survey, Census 2011, National Highways and Transport Public Satisfaction survey, Door to Door Action Plan and community led road safety concerns and highways complaints etc.

Shropshire Council holds Mosaic data that enables an in depth understanding of the lifestyles and behaviours of the public. Part of this commission will be to establish how this data can be used to inform the LTP and to design appropriate consultation.

Consultation undertaken as part of developing LTP3 in 2011 is to be reviewed and key emerging themes identified in terms of priorities. A context setting exercise wll also consider any progress made since LTP3 in terms of successful funding bids, delivering schemes or the development of new policies or strategies.

Throughout the development of this commission, innovative ways of presenting data are to be considered and must be suitable for interpretation by a non-technical audience. As a basis all spatial information is to be developed using GIS.

Specific consultation and engagement with intended audiences and target groups for the service change

The report clearly states that a wide and through consultation with stakeholders, public authorities and interest groups will be required, this process will be finalised in the next few weeks.

Potential impact on Protected Characteristic groups and on social inclusion

Using the results of evidence gathering and specific consultation and engagement, please consider how the service change as proposed may affect people within the nine Protected Characteristic groups and people at risk of social exclusion.

1. Have the intended audiences and target groups been consulted about:
    - their current needs and aspirations and what is important to them;
    - the potential impact of this service change on them, whether positive or negative, intended or unintended;

- The potential barriers they may face.
2. If the intended audience and target groups have not been consulted directly, have their representatives or people with specialist knowledge been consulted, or has research been explored?
3. Have other stakeholder groups and secondary groups, for example carers of service users, been explored in terms of potential unintended impacts?
4. Are there systems set up to:
    - monitor the impact, positive or negative, intended or intended, for different groups;
    - Enable open feedback and suggestions from a variety of audiences through a variety of methods.
5. Are there any Human Rights implications? For example, is there a breach of one or more of the human rights of an individual or group?
6. Will the service change as proposed have a positive or negative impact on:
    - Fostering good relations?
    - Social inclusion?

Initial assessment for each group

Please rate the impact that you perceive the service change is likely to have on a group, through inserting a tick in the relevant column. Please add any extra notes that you think might be helpful for readers.

Protected Characteristic groups and other groups in Shropshire	High negative impact *Part Two ESIIA required*	High positive impact *Part One ESIIA required*	Medium positive or negative impact *Part One ESIIA required*	Low positive or negative impact *Part One ESIIA required*
Age (please include children, young people, people of working age, older people. Some people may belong to more than one group eg child for whom there are safeguarding concerns eg older person with disability)			✔	
Disability (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)			✔	
Gender re-assignment (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)			✔	
Marriage and Civil Partnership (please include associated aspects: caring responsibility, potential for bullying and harassment)			✔	
Pregnancy & Maternity (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)			✔	
Race (please include: ethnicity, nationality, culture, language, gypsy, traveller)			✔	

Religion and belief (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)			✓	
Sex (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)			✓	
Sexual Orientation (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)			✓	
Other: Social Inclusion (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people for whom there are safeguarding concerns; people you consider to be vulnerable)			✓	

Guidance on what a negative impact might look like

High Negative	Significant potential impact, risk of exposure, history of complaints, no mitigating measures in place or no evidence available: urgent need for consultation with customers, general public, workforce
Medium Negative	Some potential impact, some mitigating measures in place but no evidence available how effective they are: would be beneficial to consult with customers, general public, workforce
Low Negative	Almost bordering on non-relevance to the ESIIA process (heavily legislation led, very little discretion can be exercised, limited public facing aspect, national policy affecting degree of local impact possible)

Decision, review and monitoring

Decision	Yes	No
Part One ESIIA Only?	✓	
Proceed to Part Two Full Report?		

If Part One, please now use the boxes below and sign off at the foot of the page. If Part Two, please move on to the full report stage.

Actions to mitigate negative impact or enhance positive impact of the service change
The Cabinet report makes the following recommendations   **1.1. Cabinet approve that LTP (4) is commissioned and that a draft document is prepared.**

1.2. Cabinet approve an extensive internal and external consultation exercise is undertaken as appropriate, over the forthcoming year with agencies, partners, neighbouring authorities , statutory bodies and organisations and the wider community as appropriate to seek to ensure the thoroughness of the final draft.

1.3. A final draft strategy to be presented to Cabinet in approximately one years' time for consideration with a view to seeking approval from Cabinet to fully consult upon the final draft and the implementation plans (including proposals for developments of specific underpinning policies) for all aspects of highways and transport in Shropshire that the consultation will have developed.

1.4. Cabinet should note that subject to the outcome of the consultation(s) exercise that the final LTP 4 strategy and implementation plans, will be required to be presented to Council for formal adoption as a key strategic document of the council.

In the light of these, if approved, actions are not as yet identifiable to either mitigate or enhance the negative or positive aspects of the proposed service change, beyond consideration of likely impacts based upon extensive service knowledge
.

Actions to review and monitor the impact of the service change
The stage one ESIIA has been completed, indicating desirability of ongoing engagement with the wider community and specific consultation with groupings within the community, including rural communities and those at risk of social exclusion. Once the draft strategy is formed, consideration as to whether a full ESIIA is required will be undertaken, at which time actions may then be identified to review and monitor the likely impact of the service change on the wider community and on groupings wthin the community.

Scrutiny at Part One screening stage

People involved	Signatures	Date
Lead officer carrying out the screening		
Any internal support*		
Any external support**	*Lois Dale* Mrs Lois Dale, Rurality and Equalities Specialist	2nd January 2018
Head of service	Steve Brown	19th December 2017

This refers to other officers within the service area
**This refers either to support external to the service but within the Council, e.g. from the Rurality and Equalities Specialist, or support external to the Council, e.g. from a peer authority*

Sign off at Part One screening stage

Name	Signatures	Date
Lead officer's name		
Head of service's name	Steve Brown	19th December 2017

Shropshire Council Part 2 ESIIA: full report

Guidance notes on how to carry out the full report

The decision that you are seeking to make, as a result of carrying out this full report, will take one of four routes:

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

The Part Two Full Report therefore starts with a forensic scrutiny of the evidence and consultation results considered during Part One Screening, and identification of gaps in data for people in any of the nine Protected Characteristic groups and people who may be at risk of social exclusion, e.g. rural communities. There may also be gaps identified to you independently of this process, from sources including the intended audiences and target groups themselves.

The forensic scrutiny stage enables you to assess:

- **Which gaps need to be filled right now, to help you to make a decision about the likely impact of the proposed service change?**

This could involve methods such as: one off service area focus groups; use of customer records; examination of data held elsewhere in the organisation, such as corporate customer complaints; and reference to data held by similar authorities or at national level from which reliable comparisons might be drawn, including via the Rural Services Network. Quantitative evidence could include data from NHS Foundation Trusts, community and voluntary sector bodies, and partnerships including the Local Enterprise Partnership and the Health and Well Being Board. Qualitative evidence could include commentary from stakeholders.

- **Which gaps could be filled within a timeframe that will enable you to monitor potential barriers and any positive or negative impacts on groups and individuals further along into the process?**

This could potentially be as part of wider corporate and partnership efforts to strengthen the evidence base on equalities. Examples would be: joint information sharing protocols about victims of hate crime incidents; the collection of data that will fill gaps across a number of service areas, e.g. needs of young people with learning disabilities as they progress through into independent living; and publicity awareness campaigns that encourage open feedback and suggestions from a variety of audiences.

Lois dale, rurality and equalities specialist, standard template version for officer use as from august 2016

Once you have identified your evidence gaps, and decided on the actions you will take right now and further into the process, please record your activity in the following boxes. Please extend the boxes as needed.

Evidence used for assessment of the service change: activity record
How did you carry out further research into the nine Protected Characteristic groups and those who may be at risk of social exclusion, about their current needs and aspirations and about the likely impacts and barriers that they face in day to day living?   *And what did it tell you?*

Specific consultation and engagement with intended audiences and target groups for the service change: activity record
How did you carry out further specific consultation and engagement activity with the intended audiences and with other stakeholders who may be affected by the service change?   *And what did it tell you?*

Further and ongoing research and consultation with intended audiences and target groups for the service change: activity record
What further research, consultation and engagement activity do you think is required to help fill gaps in our understanding about the potential or known affect that this proposed service change may have on any of the ten groupings and on the intended audiences and target groups? This could be by your service area and/or at corporate and partnership level.

Full report assessment for each group

Please rate the impact as you now perceive it, by inserting a tick. Please give brief comments for each group, to give context to your decision, including what barriers these groups or individuals may face.

Protected Characteristic groups and other groups in Shropshire	High negative impact	High positive impact	Medium positive or negative impact	Low positive or negative impact
Age (please include children, young people, people of working age, older people. Some people may belong to more than one group eg child for whom there are safeguarding concerns eg older person with disability)				
Disability (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)				
Gender re-assignment (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
Marriage and Civil Partnership (please include associated aspects: caring responsibility, potential for bullying and harassment)				
Pregnancy & Maternity (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
Race (please include: ethnicity, nationality, culture, language, gypsy, traveller)				
Religion and belief (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				
Sex (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				
Sexual Orientation (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				
Other: Social Inclusion (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; people for whom there are safeguarding concerns; people you consider to be vulnerable)				

ESIIA Full Report decision, review and monitoring

Summary of findings and analysis - ESIIA decision

You should now be in a position to record your decision. Please highlight in bold the route that you have decided to take.

1. To make changes to satisfy any concerns raised through the specific consultation and engagement process and through your further analysis of the evidence to hand;
2. To make changes that will remove or reduce the potential of the service change to adversely affect any of the Protected Characteristic groups and those who may be at risk of social exclusion;
3. To adopt the service change as it stands, with evidence to justify your decision even though it could adversely affect some groups;
4. To find alternative means to achieve the aims of the service change.

Please add any brief overall comments to explain your choice.

You will then need to create an action plan and attach it to this report, to set out what further activity is taking place or is programmed that will:

- *mitigate negative impact or enhance positive impact of the service change,*
AND
- *review and monitor the impact of the service change*

Please try to ensure that:

- *Your decision is based on the aims of the service change, the evidence collected, consultation and engagement results, relative merits of alternative approaches and compliance with legislation, and that records are kept;*
- *The action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.*

Scrutiny at Part Two full report stage

People involved	Signatures	Date
Lead officer		
Any internal support		
Any external support		
Head of service		

Sign off at Part Two full report stage

Signature (Lead Officer)	Signature (Head of Service)
Date:	Date:

Appendix: ESIIA Part Two Full Report: Guidance Notes on Action Plan

Please base your action plan on the evidence you find to support your decisions, and the challenges and opportunities you have identified. It could include arrangements for:

- continuing engagement and involvement with intended audiences, target groups and stakeholders;
- monitoring and evaluating the service change for its impact on different groups throughout the process and as the service change is carried out;
- ensuring that any pilot projects are evaluated and take account of issues described in the assessment, and that they are assessed to make sure they are having intended impact;
- ensuring that relevant colleagues are made aware of the assessment;
- disseminating information about the assessment to all relevant stakeholders who will be implementing the service change;
- Strengthening the evidence base on equalities.

Please also consider:

- resource implications for in-house and external delivery of the service;
- arrangements for ensuring that external providers of the service are monitored for compliance with the Council's commitments to equality, diversity and social inclusion, and legal requirements including duties under the Equality Act 2010.

And finally, please also ensure that the action plan shows clear links to corporate actions the Council is taking to meet the general equality duty placed on us by the Equality Act 2010, to have due regard to the three equality aims in our decision making processes.

These are:

- Eliminating discrimination, harassment and victimisation
- Advancing equality of opportunity
- Fostering good relations

Note: Shropshire Council has referred to good practice elsewhere in refreshing previous equality impact assessment material in 2014 and replacing it with this ESIIA material. The Council is grateful in particular to Leicestershire County Council, for graciously allowing use to be made of their Equality and Human Rights Impact Assessments (EHRIAs) material and associated documentation.

For further information on the use of ESIIAs: please contact your head of service or contact Mrs Lois Dale, Rurality and Equalities Specialist and Council policy support on equality, via telephone 01743 255684, or email lois.dale@shropshire.gov.uk.