

Comprehensive Impact Assessment

Version 6 – March 2016

Equality Impact
Human rights
Rurality
Safeguarding
Information Management
Community Safety/ Crime and Disorder
Environment
Health, Safety and Wellbeing
Business Continuity Management

Refer to the CIA Guidance before completing the assessment

Please attach the related policy/papers with this CIA to enable the DEAG to make an informed assessment

What are the benefits from doing CIAs?

Carrying out a good CIA makes excellent business sense. It will help you to:

- Ensure services are targeted in the right way by assessing any potential impacts and risk – positive or negative
- Work with others to identify and plan how negative impacts and risk can be reduced - including cross organisation and compounded impacts and risks
- Make sure that decision making is justified, transparent and evidenced
- Create an opportunity for dialogue with the community, staff and other partners
- Provide good customer service

It is important the CIA is carried out at the earliest opportunity to ensure that you have the time to undertake any additional work that will inform your decisions (for example community engagement). It is also good practice to work in a small group of 2 or 3 to get the best from the process.

Risk Management

Risk Management is a process to identify, assess, react, monitor and report on opportunities or threats to the achievement of objectives. It is considered an essential element of good governance and decision making.

The Risk Assessment matrix below will help you to better assess the potential impact and risk of the policy/function that you are considering and better inform the CIA Outcomes.

Inherent and Residual Risk

Inherent Risk

Once identified, each risk should be considered on its raw or ***inherent*** basis. This means the exposure of the risk before any controls are taken into consideration.

Control is defined as: Any action, procedure or operation undertaken by management to increase the likelihood that activities and procedures will achieve their objectives.

Residual Risk

Once controls in place have been considered, the risk that still remains needs to be assessed. When we consider the impact of a risk it should always be on the Council as a whole, as well as on our own part of the Council, including our employees, it should also include the risk to the service users, both internal and external.

Assessing Risk

Once residual risk has been identified it is important to assess how significant the risk is to your Service/Directorate/Council and Community as a whole. The **impact x likelihood** score, as discussed in the "Risk Assessment" bite sized guide, can be plotted against the **Risk Matrix**.

Risk Assessment Matrix

Likelihood	Remote	Unlikely	Possible	Probable	Certain
Impact					
Catastrophic	5	10	15	20	25
Moderate	4	8	12	16	20
Limited	3	6	9	12	15
Minimal	2	4	6	8	10
No	1	2	3	4	5

What does the Risk Matrix score mean?

OVERALL RISK	DESCRIPTION
1 – 6	A residual risk score of 6 or less is generally considered acceptable to the Council and will require no further action other than continued good management practices and to ensure that the relevant controls are still operating effectively.
8 -16	A residual risk score of 8 -16 may require the implementation of additional controls/action to be taken, although this depends on the nature of the risk, and the potential cost/benefit of reducing the level of risk further.
20+	A residual risk score of 20 or more requires the implementation of additional controls urgently, as this level of residual risk is unacceptable to the Council. The Corporate Leadership Team will need to be made aware of these risks and involved in decision making around risk actions.

The risk score correlates to the three Outcomes on the CIA Summary and will be entered into the CIA Summary:

RAG Score	CIA Form Outcome
Green	1
Amber	2
Red	3

Comprehensive Impact Assessment Template

Assessment being undertaken		
Directorate:		
Service:		
Name of Officer/s completing assessment:		
Date of Assessment:		
1.	Why are you doing this CIA? – A brief explanation of the reason. Is it for: new/change in policy, procedures, strategy, function, service. (Please refer to the guidance for the definitions)	
2.	What are the aims, objectives, outcomes, purpose of the policy, service change, function that you are assessing?	
3.	Who implements or delivers the above?	

	<p>State if this is undertaken by more than one team, service, and department including any external partners.</p>	
<p>4.</p>	<p>Equality and Diversity - Who will be affected by this proposal? Is the proposal likely to result in positive or negative impacts/risks? If so what are they? What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts/risks? This section should include reference to the 9 protected characteristics as referenced in the Equality Act 2010. Consideration should also be given to the Cornish status – see CIA guidance for further information.</p>	<p>Who will be affected by this proposal? (Consider the protected characteristics: age, disability, gender reassignment, marriage & civil partnership, pregnancy & maternity, race (incl. Cornish Minority), religion & belief, sex and sexual orientation)</p> <p>What are the positive impacts/risks – if any?</p> <p>What are the negative impacts/risks – if any?</p> <p>RAG Score</p>

5.	<p>Human Rights - Who will be affected by this proposal? Is the proposal likely to result in positive or negative impacts/risks? If so what are they? What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts/ risks?</p>	<p>Who will be affected by this proposal?</p> <p>What are the positive impacts/risks – if any?</p> <p>What are the negative impacts/risks – if any?</p> <p>RAG Score:</p>
6.	<p>Rurality- Will this proposal have a positive or negative impact for those living in rural communities? If so what are they? What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts/risks?</p>	<p>What are the positive impacts – if any?</p> <p>What are the negative impacts/risks – if any?</p> <p>What plans do you have in place, or are developing that will mitigate the likely identified impact/risk?</p> <p>RAG Score:</p>
7.	<p>Safeguarding - Who will be affected by this proposal? Is the proposal likely to result in positive or negative</p>	<p>Who will be affected by this proposal?</p> <p>What are the positive impacts/risks – if any?</p> <p>What are the negative impacts/risks – if any?</p>

	<p>impacts/risks? If so what are they? What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts/risks?</p>	<p>What plans do you have in place, or are developing that will mitigate the likely identified impact/risk?</p> <p>RAG Score:</p>
<p>8.</p>	<p>Information Management – What type of information will be required to deliver this proposal? Is the proposal likely to result in increased risks to the information? If so, what are they? What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts/risks?</p>	<p>What type of information will be required to deliver this proposal?</p> <p>Is the proposal likely to result in increased risks to the information, if so what are they?</p> <p>What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts/risks?</p> <p>RAG Score:</p>
<p>9.</p>	<p>Community Safety/Crime and Disorder - Who will be affected by this proposal? Is the proposal likely to result in positive or negative</p>	<p>Who will be affected by this proposal?</p> <p>What are the positive impacts/risks – if any?</p> <p>What are the negative impacts/risks – if any?</p>

	<p>impacts/risks? If so what are they? What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts/risks?</p>	<p>What plans do you have in place, or are developing that will mitigate the likely identified impact/risk?</p> <p>RAG Score:</p>
<p>10.</p>	<p>Environment - How will the environment be affected by this proposal. Is the proposal likely to result in positive or negative impacts? How will these impacts be maximised or minimised. Will this project deliver towards the Council's ambition of environmental growth?</p>	<p>What are the positive impacts/risks – if any?</p> <p>What are the negative impacts/risks – if any?</p> <p>What plans do you have in place, or are developing that will mitigate the likely identified impact/risk?</p> <p>RAG Score:</p>
<p>11.</p>	<p>Health, Safety and Wellbeing - Who will be affected by this proposal? Is the proposal likely to result in positive or negative impacts/risks arising</p>	<p>Who will be affected by this proposal?</p> <p>What are the positive impacts/risks – if any?</p> <p>What are the negative impacts/risks – if any?</p>

	<p>from: Individual lifestyles, social and community influences, living, working and economic conditions, access to or quality of services or any other direct or indirect effects on health, safety and well-being? If so what are they? What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts/risks?</p>	<p>What plans do you have in place, or are developing that will mitigate the likely identified impact/risk?</p> <p>RAG Score:</p>
12.	<p>Business Continuity Planning - Is there a Business Continuity plan in place that will be affected by the proposed changes and, if not, has the area been assessed to identify critical processes or functions? Who will be affected by this proposal? Is the</p>	<p>Who will be affected by this proposal?</p> <p>What are the positive impacts/risks – if any?</p> <p>What are the negative impacts/risks – if any?</p> <p>What plans do you have in place, or are developing that will mitigate the likely identified impact/risk?</p>

	<p>proposal likely to result in positive or negative impacts/risks arising? Are all interdependent service areas covered by the CIA and are there any single points of failure identified?</p>	<p>RAG Score:</p>
<p>13.</p>	<p>Have the impacts identified in Questions 4 to 12 been assessed using up to date and reliable evidence and data? Please provide a link to the evidence/data or state what the evidence/data is. The data and research page on the intranet is a useful resource.</p> <p>Do you need to engage or consult with any representative group/s?</p> <p>Are our staff affected? Have the unions or staff forums been involved? If</p>	

**CIOS LEP Assurance Framework
Appendix 19.3**

	not do they need to be?	
14.	<p>Are there other implications not covered by this CIA that need to be considered? These can include: staffing, procurement and contracts, property, climate change, transport, waste and economy. If yes then please explain.</p> <p>Refer to the Committee Report Template Guidance page for further information.</p>	

**CIOS LEP Assurance Framework
Appendix 19.3**

Summary of risks. What course of action does this CIA suggest you take? More than one of the following may apply. Please state the Residual Risk score. (Refer to the CIA Guidance regarding Risk Management)	Highest Risk Score
Outcome 1 - Green: No change required. The CIA has not identified any potential for adverse impact or risk. (Residual risk score of 6 or less)	
Outcome 2 - Amber: Continue with the proposal but mitigate the identified risk/s. Despite the potential of an adverse risk/impact continue but make sure you have suitable mitigation plans in place to manage and monitor the risk or impact. (Residual risk score of 8 to 16)	
Outcome 3 - Red: Stop and rethink. The risk and or impacts may not be acceptable even with mitigation. (Residual risk score of 20+)	

Summary of this CIA (Copy and paste into the report template)
<ul style="list-style-type: none"> • What are the key risks/impacts – both positive and negative? • Are there any groups affected more than others? • What were the identified risks and their mitigation? • Do you consider that the identified risks are cumulative? If yes make this clear in the Summary. • What course of action are you advising as a result of this CIA?

DEAG Sign Off

Name -

Date -

Comments from DEAG