

Impact Assessment Screening Tool

Name of policy or process:	Joining us, staying with us and leaving us: a guide to how we undertake member appointments, reappointments and removal
Purpose of policy or process:	To set out our processes for making appointments, reappointments and removals on Council and our committees which are in line with the PSA Guidance, our Constitution Order / Rules.
Team/Department:	Governance
Date:	11 February 2019
Screen undertaken by:	Lisa Harmshaw, Governance Manager
Approved by:	Nicola Ebdon, Head of Governance
Date approved:	20 March 2019

Instructions:	<ul style="list-style-type: none"> • Circle or colour in the current status of the project or policy for each row. • Do not miss out any rows. If it is not applicable – put N/A, if you do not know put a question mark in that column. • This is a live tool, you will be able to update it further as you have completed more actions. • Make sure your selections are accurate at the time of completion. • Decide whether you think a full impact assessment is required to list the risks and the mitigating/strengthening actions. • If you think that a full impact assessment is not required, put your reasoning in the blank spaces under each section. • You can include comments in the boxes or in the space below. • Submit the completed form to the Compliance Manager for approval.
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A) Impacts	High Risk	Medium Risk		Low Risk	? or N/A
1. Reserves	It is likely that reserves may be required	It is possible that reserves may be required		No impact on the reserves / not used	
2. Budget	No budget has been allocated or agreed, but will be required.	Budget has not been allocated, but is agreed to be transferred shortly	Budget has been allocated, but more may be required (including in future years)	Budget has been allocated and it is unlikely more will be required	
3. Legislation, Guidelines or Regulations	Not sure of the relevant legislation	Aware of all the legislation but not yet included within project/process	Aware of the legislation, it is included in the process/project, but we are not yet compliant	Aware of all the legislation, it is included in the project/process, and we are compliant	
4. Future legislation changes	Legislation is due to be changed within the next 12 months	Legislation is due to be changed within the next 24 months		There are no plans for legislation to be changed	
5. Reputation & Media	This topic has high media focus at present or in last 12 months	This topic has growing focus in the media in the last 12 months	This topic has little focus in the media in the last 12 months	This topic has very little or no focus in the media in the last 12 months	
6. Resources (people & equipment)	Requires new resource	Likely to complete with current resource, or by sharing resource	Likely to complete with current resource	Able to complete with current resource	
7. Sustainability	Less than 5 people are aware of the process/project, and it is not recorded centrally nor fully	Less than 5 people are aware of the project/process, but it is recorded centrally and fully	More than 5 people are aware of the process/project, but it is not fully recorded and/or centrally	More than 5 people are aware of the process/project and it is clearly recorded centrally	
	No plans are in place for training, and/or no date set for completion of training	Training material not created, but training plan and owner identified and completion dates set	Training material and plan created, owner identified and completion dates set	Training completed and recorded with HR	n/a
8. Communication (Comms) / Raising Awareness	No comms plan is in place, and no owner or timeline identified	External comms plan is in place (including all relevant stakeholders) but not completed, and	Internal comms plan is in place (for all relevant levels and departments) but not completed, and	Both internal and external comms plan is in place and completed, owner and completion dates are identified	

		owner and completion dates are identified	owner and completion dates are identified		
	Not sure if needs to be published in Welsh	Must be published in Welsh, Comms Team aware.		Does not need to be published in Welsh.	

Please put commentary below about your Impacts ratings above:

- Future legislation changes: A review of our governance structure is due to be undertaken during 2019/20, additionally we are anticipating legislative change (particularly with regards to lifting the cap of 40 members on our Hearings Panel). We do not currently know what impact this might have on our processes, when it will happen and what risks this may bring but ensuring that our process is up to date now will assist us in being better prepared for any changes and challenges that this might bring.

B) Information Governance	High Risk	Medium Risk		Low Risk	? or N/A
1. What data is involved?	Sensitive personal data	Personal data	Private / closed business data	Confidential / open business data	
2. Will the data be anonymised?	No	Sometimes, in shared documents	Yes, immediately, and the original retained	Yes, immediately, and the original deleted.	
3. Will someone be identifiable from the data?	Yes	Yes, but their name is already in the public domain(SMT/Council)	Not from this data alone, but possibly when data is merged with other source	No – all anonymised and cannot be merged with other information	
4. Is all of the data collected going to be used?	No, maybe in future	Yes, but this is the first time we collect and use it	Yes, but it hasn't previously been used in full before	Yes, already being used in full	
5. What is the volume of data handled per year?	Large – over 4,000 records	Medium – between 1,000-3,999 records		Less than 1,000 records	
6. Do you have consent from data subjects?	No	Possibly, it is explained on our website (About Us)	Yes, explicitly obtained, not always recorded	Yes, explicitly obtained and recorded/or part of statutory duty/contractual	
7. Do you know how long the data will be held?	No – it is not yet on retention schedule	Yes – it is on retention schedule	Yes – but it is not on the retention schedule	On retention schedule and the relevant employees are aware	
8. Where and in what format would the data be held? (delete as appropriate)	Paper; at home/off site; new IT system or provider; Survey Monkey; personal laptop	Paper; Archive room; office storage (locked)	GOC shared drive; personal drive	other IT system (in use); online portal; CRM; Scanned in & held on H: drive team/dept folder	
9. Is it on the information asset register?	No	Not yet, I've submitted to Information Asset Owner (IAO)	Yes, but it has not been reviewed by IAO	Yes, and has been reviewed by IAO and approved by Gov. dept.	N/A*
10. Will data be shared or disclosed with third parties?	Yes, but no agreements are in place	Yes, agreement in place	Possibly under Freedom of Information Act	No, all internal use	

11. Will data be handled by anyone outside the EU?	Yes	-	-	No	
12. Will personal or identifiable data be published?	Yes – not yet approved by Compliance	Yes- been agreed with Compliance	No, personal and identifiable data will be redacted	None - no personal or identifiable data will be published	
13. Individuals handling the data have been appropriately trained	Some people have never trained by GOC in IG.	All trained in IG but over 12 months ago		Yes, all trained in IG in the last 12 months	

Please put commentary below about reasons for Information Governance ratings:

- Data – sensitive personal data includes candidates EDI information which is separated from their applications and held on the H drive.
- Identifiable from the data – (EDI) only internal (never shared with the Appointments Panels or Nominations committee). Data which is published is not identifiable.
- Identifiable from the data – name, current and previous roles held. When we issue a press release regarding appointments and publish biographies (agreed with the appointee beforehand) on the GOC website (applies to Council only). Also applies to published declarations of interest (on GOC website).
- Is it on the information asset register – the policy is not on the Register, but the data is. Data is held in line with our retention schedules.

C) Human Rights, Equality and Inclusion	High Risk	Medium Risk	Medium Risk	Low Risk	? or N/A
Main audience/policy user	Public			Registrants, employees or members	
Participation in a process (right to be treated fairly, right for freedom of expression)	Yes, the policy, process or activity restricts an individual's inclusion, interaction or participation in a process.			No, the policy, process or activity does not restrict an individual's inclusion, interaction or participation in a process.	
The policy, process or activity includes decision-making which gives outcomes for individuals (right to a fair trial, right to be treated fairly)	Yes, the decision is made by one person, who may or may not review all cases	Yes, the decision is made by one person, who reviews all cases	Yes, the decision is made by an panel which is randomly selected; which may or may not review all cases.	Yes, the decision is made by a representative panel (specifically selected). No, no decisions are required.	
	There is limited decision criteria; decisions are made on personal view	There is some set decision criteria; decisions are made on 'case-by-case' consideration.	There is clear decision criteria, but no form to record the decision.	There is clear decision criteria and a form to record the decision.	
	There is no internal review or independent appeal process	There is a way to appeal independently, but there is no internal review process.	There is an internal review process, but there is no way to appeal independently	There is a clear process to appeal or submit a grievance to have the outcome internally reviewed and independently reviewed	
	The decision-makers have not received EDI & unconscious bias training, and there are no plans for this in the next 3 months.	The decision-makers are due to receive EDI & unconscious bias training in the next 3 months, which is booked.	The decision-makers are not involved before receiving EDI & unconscious bias training.	The decision-makers have received EDI & unconscious bias training within the last 12 months, which is recorded.	

Training for all involved	Less than 50% of those involved have received EDI training in the last 12 months; and there is no further training planned	Over 50% of those involved have received EDI training, and the training are booked in for all others involved in the next 3 months.		Over 80% of those involved have received EDI training in the last 12 months, which is recorded.	
Alternative forms – electronic / written available?	No alternative formats available – just one option	Yes, primarily internet/computer-based but paper versions can be used		Alternative formats available and users can discuss and complete with the team.	
Venue where activity takes place	Building accessibility not considered	Building accessibility sometimes considered		Building accessibility always considered	n/a
	Non-accessible building;	Partially accessible buildings;	Accessible buildings, although not all sites have been surveyed	All accessible buildings and sites have been surveyed	n/a
Attendance	Short notice of dates/places to attend	Medium notice (5-14 days)of dates/places to attend		Planned well in advance	n/a
	Change in arrangements is very often	Change in arrangements is quite often		Change in arrangements is rare	n/a
	Only can attend in person	Mostly required to attend in person		Able to attend remotely	n/a
	Unequal attendance / involvement of attendees	Unequal attendance/ involvement of attendees, but this is monitored and managed.		Attendance/involvement is equal, and monitored per attendee.	n/a
	No religious holidays considered; only Christian holidays considered	Main UK religious holidays considered	Main UK religious holidays considered, and advice sought from affected individuals if there are no alternative dates.	Religious holidays considered, and ability to be flexible (on dates, or flexible expectations if no alternative dates).	n/a
Associated costs	Potential expenses are not included in our expenses policy	Certain people, evidencing their need, can claim for potential expenses, case by case decisions		Most users can claim for potential expenses, and this is included in our expenses policy; freepost available.	n/a
Fair for individual's needs	Contact not listed to discuss reasonable adjustments,	Most employees know who to contact with queries about reasonable adjustments		Contact listed for reasonable adjustment discussion	

	employees not aware of reasonable adjustment advisors.			
Consultation and Inclusion	No consultation; consultation with internal employees only	Consultation with employees and members	Consultation with employees, members, and wider groups	Consultation with policy users, employees, members and wider groups.

Please put commentary below for Human Rights, Equalities and Inclusion ratings above:

ATTENDANCE

- **(Interviews) Increasing / improving accessibility** - We will offer skype interviews for future committee member interviews or those who require it as part of reasonable adjustments. **Skype to be introduced during 2019/20 subject to reliable technology being available. DUE: throughout 2019/20 (note: we do not currently expect any campaigns where this would be needed, unless as a result of reasonable adjustments).**
- **Advertising, information and support (inc. communications)** Increasing diversity and improving application standards - We attend optical conferences/ open days to engage with registrants directly to see whether barriers exist to these types of roles **We will continue throughout 2019/20 particularly in the run up to the next registrant Council member campaign. DUE: Q1 2020/21**; and generate interest. For lay vacancies, we advertise via a range of national organisations, including *womenonboards* and BME-focussed media, who have a specialist interest in equality, diversity and inclusion. **COMPLETED – we will continue to look for additional / alternative advertising sources**
- Improving accessibility - Refinements to advertising for example advertisement to adopt more inclusive language (Textio software). **We will consider this during 2019/20 to determine whether it will be useful and any constraints. DUE: Q1 2019/20**
- **Timetable** - The timing of application deadlines and interview dates may prevent applicants from certain groups from applying. We endeavour to avoid organising interviews during the school-holiday period, religious holidays and other days for our application period. Search engine calendar checks to ensure no conflicts with religious holidays or UK half-terms or holidays. **COMPLETED – October 2018 and for each campaign since**

THE POLICY, PROCESS OR ACTIVITY INCLUDES DECISION-MAKING WHICH GIVES OUTCOMES FOR INDIVIDUALS (RIGHT TO A FAIR TRIAL, RIGHT TO BE TREATED FAIRLY)

- **Selection decisions (at each stage of the process, i.e. sifting, shortlisting and interviews)** All protected characteristics / improving fairness and our commitment to appointment on merit. All applications are anonymous at sifting and shortlisting stage (Council only). This

therefore removes the possibility of unconscious bias as the Panel will not be aware of who the applicants are until they have determined who they wish to invite for interview. **Consideration will be given to whether we should extend anonymisation beyond Council vacancies to ensure we are not treating candidates differently. COMPLETED: March 2019 – anonymisation extended to all campaigns.**