

DoF Screening template

Section 1. Policy scoping

DoF has a statutory duty to screen. This includes our strategies and plans, policies, legislative developments; and new ways of working such as – the introduction, change or end of an existing service, procedure, policy etc. This screening template is designed to help business areas consider the likely equality and human rights impacts of their proposed decisions on different groups of customers, service users, staff and visitors.

Detailed information about the Section 75 equality duties and what they mean in practice is available on the Equality Commission's website. <http://www.equalityni.org/archive/pdf/S75GuideforPublicAuthoritiesApril2010.pdf>

A copy of the Screening Template, for each policy screened should be 'signed off' and approved by a senior manager responsible for the policy, made easily accessible on the DoF website as soon as possible following completion and made available in alternative formats on request.

All Section 75 consultees should be advised of the screening exercise once the final policy decision has been taken. A list of consultees is available on the DoF website <https://www.finance-ni.gov.uk/sites/default/files/publications/dfp/Equality%20consultee%20%20list.pdf>

This policy has been screened by

Name	Brendan McLernon
Grade	DP
Branch	Group Internal Audit and Fraud Investigation Service (GIAFIS)
Contact Details	02890524415
Date	06 February 2017

And approved by

Name	Michelle Anderson
Grade	G5
Branch	Group Internal Audit and Fraud Investigation Service
Contact Details	02890524415
Date	06 February 2017

The screening template has 4 sections to complete. These are:

Section A - asks you to provide details about the policy / decision that is being screened.

Section B - has 4 key questions that require you to outline the likely impacts on equality groups, and all supporting evidence.

Section C - has 4 key questions in relation to obligations under the Disability Discrimination Order and the Human Rights Act.

Section D - is the formal record of the screening decision.

SECTION A - Information about the policy

Is this a new or revised policy?

Implementation Project to restructure and centralise NICS Internal Audit services

a) Name of the policy

GIAFIS Centralisation of NICS Internal Audit services

b) Brief Description of the policy

The project concerns the machinery of government i.e. structural reorganisation and centralisation of 9 NICS departmental Internal Audit services into a single unit in DoF. There is approximately 100 staff distributed across eight Internal Audit Units that service the nine NICS departments. The staff and functions are to transfer to a single central unit in DoF that will then provide services to the NICS departments.

c) Aims of the policy/ Rationale behind the changes

The aim of the restructuring and pooling of resources through centralisation is to help provide such benefits as:

- Greater resilience and continuity of the IA service.
- Greater flexibility in managing staff resources to meet emerging/unforeseen needs.
- Opportunities to develop specialist skills to meet the needs of Accounting Officers.
- Enhanced consistency of service across the NICS.
- Achieve economies of scale in managing costs

d) Who will the policy affect?

There will be a minimal affect on service users as the services provided remain the same but the structural organisation and some back office management processes will change.

The change will affect staff within the IA units as they will move to a single unit in DoF but it will not affect the nature of the duties required as this is standardised across the NICS and governed by professional standards. In the short term this will not involve physically relocating staff.

In the longer term (2 – 5 years), it is anticipated that staff already based in Belfast may move to a single site in Belfast and similarly staff currently based in the Stormont Estate may move to a single site on the estate. Staff currently based in Ballykelly will remain in that geographical hub. It is uncertain at this point whether staff based in Rathgael may have to be re-located to the Stormont Estate site.

If this policy has no adverse impact on any of the Section 75 groups, please go to Section C.

e) Is this a NICS wide policy?

Yes - NICS departments will now receive the service from DoF.

f) Who will implement the policy?

The Head of Profession (Michelle Anderson) will implement the policy supported by Heads of Internal Audit (HIAs) and IA staff.

g) Will this policy or revision address an existing inequality?
If yes, please give details.

No - not any of the nine groups specifically

- h) Will this policy or revision benefit any Section 75 categories.
If yes, please give details.

No - not any of the nine groups specifically

- i) Will this policy or revision have an adverse differential impact upon any of the Section 75 groupings?
If yes, please give details

No - It is anticipated that in the longer term (2-5 years) centralisation could result in re-location of staff and may impact individuals (positively or negatively) but not any of the nine groups specifically.

Section B

Available evidence

Evidence to help inform the screening process may take many forms. Public authorities should ensure that their screening decision is informed by relevant data.

What evidence / information (both qualitative and quantitative) have you gathered to inform this policy? Set out all evidence below along with details of the different groups you have met and / or consulted with to help inform your screening assessment.

Please also provide details of priorities and needs identified for each group

Section 75 category	Details of evidence / information and engagement / needs and priorities
Religious belief	None – The implementation project involves the machinery of government i.e. restructuring and redeployment of NICS staff resources. All staff are safeguarded by existing NICS HR policies and procedures and guidance will be developed where it is identified that clarification is needed on how DoF implement such policies etc.

Political opinion	None – as above
Racial group	None – as above
Age	None – as above
Marital status	None – as above
Sexual orientation	None – as above
Men & women generally	None – as above
Disability	None – as above
Dependants	None – as above

No evidence held? Outline how you will obtain it:

None – The implementation project involves restructuring and redeployment of NICS staff resources. All staff are safeguarded by existing NICS HR policies and procedures and guidance will be developed where it is identified that clarification is needed on how DoF implement such policies etc.

Screening questions

There are 4 essential screening questions:

1. What is the likely impact on equality of opportunity for those affected by this policy, for each of the nine Section 75 categories?
2. Are there opportunities to better promote equality of opportunity for people within the Section 75 categories?
3. Will the policy impact upon good relations between people of different religious belief, political opinion or racial group?
4. Are there opportunities to better promote good relations between these three groups?

Category	Q1.Impact upon Equality of opportunity within the Section 75 categories	Level of impact: None/ Minor/ Major	Q2.Opportunities to promote Equality Of opportunities within the Section 75 categories	Level of impact: None/ Minor/ Major
Religious Belief		None		None
Political opinion		None		None
Racial group		None		None
Age		None		None
Marital status		None		None
Sexual orientation		None		None
Men and women generally		None		None
Disability		None		None
Dependants		None		None

Category	Q3. Impact upon good relations between people of different religious belief, political opinion or racial group	Level of impact: None/ Minor/ Major	Q4. Promotion of good relations between people of different religious belief, political opinion or racial group	Level of impact: None/ Minor/ Major
Religious Belief		None		None
Political opinion		None		None
Racial group		None		None

Mitigation

When the public authority concludes that the likely impact is 'minor' and an equality impact assessment is not to be conducted, the public authority may consider mitigation to lessen the severity of any equality impact, or the introduction of an alternative policy to better promote equality of opportunity or good relations.

Alternatively there may already be policies in place which would mitigate any adverse impact identified.

Please provide details in the box below:

Not Applicable

Section C

DoF also has legislative obligations to meet under the [Disability Discrimination Order](#) and the [Human Rights Act](#) . The following questions relate to these two areas.

Consideration of Disability Duties

- a) Does the proposed policy / decision provide an opportunity for DoF to better **promote positive attitudes** towards disabled people?

Explain your assessment in full

No – Implementation of the project applies equally to all NICS staff, with support measures available to all grades. All of the requirements of disability discrimination legislation continue to apply to these processes e.g. the need to consider reasonable adjustments to staff involved in the centralisation.

- b) Does the proposed policy / decision provide an opportunity to actively **increase the participation** by disabled people in public life?

Explain your assessment in full

No - - It does not positively or negatively affect any of the nine Section 75 groups specifically

Consideration of Human Rights

- c) The Human Rights Act (HRA) 1998 brings the European Convention on Human Rights (ECHR) into UK law and it applies in N Ireland. Articles 3 and 4 are classified as “absolute” rights ie the State can never withhold or take away these rights. All others are either “qualified” or “limited”. Further information is available via the following link

<https://www.justice.gov.uk/downloads/human-rights/human-rights-making-sense-human-rights.pdf>

Indicate any potential *adverse impacts* that the policy / decision may have in relation to human rights issues.

		<u>Adverse impact</u>
Right to Life	Article 2	None
Prohibition of torture, inhuman or degrading treatment	Article 3	None
Prohibition of slavery and forced labour	Article 4	None
Right to liberty and security	Article 5	None
Right to a fair and public trial	Article 6	None
Right to no punishment without law	Article 7	None
Right to respect for private and family life, home and correspondence	Article 8	None
Right to freedom of thought, conscience and religion	Article 9	None
Right to freedom of expression	Article 10	None
Right to freedom of peaceful assembly and association	Article 11	None

Right to marry and to found a family	Article 12	None
The prohibition of discrimination	Article 14	None
Protection of property and enjoyment of possessions	Protocol 1 Article 1	None
Right to education	Protocol 1 Article 2	None
Right to free and secret elections	Protocol 1 Article 3	None

Consideration of Human Rights (cont)

Please indicate any ways which you consider the policy positively promotes human rights.

N/A

Please explain any adverse impacts on human rights that you have identified.

N/A

If you have identified any adverse impacts on human rights please consider these further by using the toolkit provided by The Executive Office which can be found on pages 63-71 of the Policy toolkit at <https://www.executiveoffice-ni.gov.uk/publications/effective-policy-making-workbook-four-practical-guide-impact-assessment-pdf>

Monitoring Arrangements

Section 75 requires DoF to have equality monitoring arrangements in place in order to assess the impact of policies and services etc; to help identify barriers to fair participation; and to better promote equality of opportunity.

Outline what data you will collect in the future in order to monitor the impact of this policy / decision on equality, good relations and disability duties.

Equality	Good Relations	Disability Duties
Feedback is provided on an ongoing basis through Departments, with regard to any issues or problems encountered as a result of centralisation.	Feedback is provided on an ongoing basis through Departments, with regard to any issues or problems encountered as a result of centralisation.	Feedback is provided on an ongoing basis through Departments, with regard to any issues or problems encountered as a result of centralisation.

Section D

Formal Record of Screening Decision

Title of Proposed Policy / Decision being screened:

GIAFIS Centralisation of NICS Internal Audit Service

I can confirm that the proposed policy / decision has been screened for –

Y	equality of opportunity and good relations
Y	disabilities duties; and
Y	human rights issues

On the basis of the answers to the screening questions, I recommend that this policy / decision is –

	*Screened In – Necessary to conduct a full EQIA
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Y	* <u>Screened Out</u> – No EQIA necessary (no impacts)
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	* <u>Screened Out -</u> Mitigating Actions (minor impacts) Provide a brief note here to explain how this decision was reached:
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**Screening assessment
completed by -**

Name: Brendan McLernon

Grade: DP

Date: 06 February 2017

Approved by –

Name: Michelle Anderson

Grade: G5 Head of Profession

Date: 06 February 2017

Strategic Equality Branch Notified (date)

Equality Contacts advised (date)