**Part 1. Policy scoping**

The first stage of the screening process involves scoping the policy under consideration. The purpose of policy scoping is to help prepare the background and context and set out the aims and objectives for the policy, being screened. At this stage, scoping the policy will help identify potential constraints as well as opportunities and will help the policy maker work through the screening process on a step by step basis.

Public authorities should remember that the Section 75 statutory duties apply to internal policies (relating to people who work for the authority), as well as external policies (relating to those who are, or could be, served by the authority).

**Information about the policy**

**Name of the policy**

\_\_Records Management Policy \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Is this an existing, revised or a new policy?**

Revised Policy\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**What is it trying to achieve? (intended aims/outcomes)**

\_ The policy states AFBI’s commitment to the use of good practice in the creation, retrieval, storage, preservation, and disposal of both paper and electronic records. In publishing this records management policy AFBI seeks to:

* define a structure to ensure adequate records are maintained.
* promote and develop good practice in records management throughout all the institute’s business areas by encouraging the use of a structured maintenance, retention, and disposal system.
* ensure value for money commensurate with legal, operational and information needs.

**Are there any Section 75 categories which might be expected to benefit from the intended policy?**

**If so, explain how.**

\_\_\_\_\_\_None\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Who initiated or wrote the policy?**

\_\_\_\_ Information Governance Unit (GPB)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Who owns and who implements the policy?**

\_\_\_\_ Information Governance Unit (GPB)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Implementation factors**

**Are there any factors which could contribute to/detract from the intended aim/outcome of the policy/decision?**

Implementation could be affected by lack of knowledge throughout the organisation of roles and responsibilities. This will be mitigated by training and communication.

**Main stakeholders affected**

**Who are the internal and external stakeholders (actual or potential) that the policy will impact upon? (please delete as appropriate)**

* AFBI permanent and temporary employees
* AFBI customers
* NICS departments, Civil Service across other designations
* Members of the public

other, please specify ­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Other policies with a bearing on this policy**

**What are they?**

The following policies all have a bearing on this policy

* [Clear Desk & Screen Policy](http://afbi.intranet.nigov.net/publications/clear-desk-and-screen-policy)
* [Data Protection Policy](http://afbi.intranet.nigov.net/publications/afbi-data-protection-policy)
* [Encryption of External Communications](http://afbi.intranet.nigov.net/publications/encryption-external-communications-policy)
* [Environmental Information Regulations](http://afbi.intranet.nigov.net/environmental-information-regulations)
* [Freedom of Information](http://afbi.intranet.nigov.net/freedom-information)
* [Information Security Policy](http://afbi.intranet.nigov.net/publications/information-security-policy)
* [IT Guidelines - GDPR](http://afbi.intranet.nigov.net/publications/gdpr-it-guidelines)
* [Mobile Device Security Policy (NICS)](http://afbi.intranet.nigov.net/publications/nics-mobile-device-security-policy)
* [Office Furniture Replacement Procedures](http://afbi.intranet.nigov.net/publications/change-office-furniture-procedure)
* [Protection of Information during Relocation - Policy & Guidance](http://afbi.intranet.nigov.net/publications/protection-information-during-relocation)
* [Records Management Policy](http://afbi.intranet.nigov.net/publications/afbi-records-management-policy)
* [Scanning Document & Records - NICS policy](http://afbi.intranet.nigov.net/publications/nics-document-record-scanning-policy)
* [Video Conferences (recording of) - NICS policy](http://afbi.intranet.nigov.net/publications/video-conferences-recording-nics-policy)

**Who owns them?**

The Information Governance Unit (GPB)

**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. The Commission has produced this guide to [signpost to S75 data](https://www.equalityni.org/ECNI/media/ECNI/Publications/Employers%20and%20Service%20Providers/Public%20Authorities/S75DataSignpostingGuide.pdf).

What evidence/information (both qualitative and quantitative) have you gathered to inform this policy? Specify details for each of the Section 75 categories.

**Religious belief** evidence / information: None
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Political Opinion** evidence / information: None
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Racial Group** evidence / information: None
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Age** evidence / information: None
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Marital Status** evidence / information: None
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Sexual Orientation** evidence / information: None
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Men & Women generally** evidence / information: None
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Disability** evidence / information: None
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Dependants** evidence / information: None
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Needs, experiences and priorities**

Taking into account the information referred to above, what are the different needs, experiences and priorities of each of the following categories, in relation to the particular policy/decision?

Specify details of the needs, experiences and priorities for each of the Section 75 categories below:

**Religious belief** None, no impact
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Political Opinion** None, no impact

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Racial Group** None, no impact

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Age** None, no impact

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Marital status** None, no impact

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Sexual orientation** None, no impact

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Men and Women Generally** None, no impact

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Part 2. Screening questions**

**Introduction**

In making a decision as to whether or not there is a need to carry out an equality impact assessment, the public authority should consider its answers to the questions 1-4 which are given on pages 66-68 of this Guide.

If the public authority’s conclusion is **none** in respect of all of the Section 75 equality of opportunity and/or good relations categories, then the public authority may decide to screen the policy out. If a policy is ‘screened out’ as having no relevance to equality of opportunity or good relations, a public authority should give details of the reasons for the decision taken.

If the public authority’s conclusion is **major** in respect of one or more of the Section 75 equality of opportunity and/or good relations categories, then consideration should be given to subjecting the policy to the equality impact assessment procedure.

If the public authority’s conclusion is **minor** in respect of one or more of the Section 75 equality categories and/or good relations categories, then consideration should still be given to proceeding with an equality impact assessment, or to:

* measures to mitigate the adverse impact; or
* the introduction of an alternative policy to better promote equality of opportunity and/or good relations.

**In favour of a ‘major’ impact**

1. The policy is significant in terms of its strategic importance;
2. Potential equality impacts are unknown, because, for example, there is insufficient data upon which to make an assessment or because they are complex, and it would be appropriate to conduct an equality impact assessment in order to better assess them;
3. Potential equality and/or good relations impacts are likely to be adverse or are likely to be experienced disproportionately by groups of people including those who are marginalised or disadvantaged;
4. Further assessment offers a valuable way to examine the evidence and develop recommendations in respect of a policy about which there are concerns amongst affected individuals and representative groups, for example in respect of multiple identities;
5. The policy is likely to be challenged by way of judicial review;
6. The policy is significant in terms of expenditure.

**In favour of ‘minor’ impact**

1. The policy is not unlawfully discriminatory and any residual potential impacts on people are judged to be negligible;
2. The policy, or certain proposals within it, are potentially unlawfully discriminatory, but this possibility can readily and easily be eliminated by making appropriate changes to the policy or by adopting appropriate mitigating measures;
3. Any asymmetrical equality impacts caused by the policy are intentional because they are specifically designed to promote equality of opportunity for particular groups of disadvantaged people;
4. By amending the policy there are better opportunities to better promote equality of opportunity and/or good relations.

**In favour of none**

1. The policy has no relevance to equality of opportunity or good relations.
2. The policy is purely technical in nature and will have no bearing in terms of its likely impact on equality of opportunity or good relations for people within the equality and good relations categories.

Taking into account the evidence presented above, consider and comment on the likely impact on equality of opportunity and good relations for those affected by this policy, in any way, for each of the equality and good relations categories, by applying the screening questions given overleaf and indicate the level of impact on the group i.e. minor, major or none.**Screening questions**

1. **What is the likely impact on equality of opportunity for those affected by this policy, for each of the Section 75 equality categories?**

Please provide details of the likely policy impacts and determine the level of impact for each S75 categories below i.e. either minor, major or none.

Details of the likely policy impacts on **Religious belief**: None, no impact

What is the level of impact? None

Details of the likely policy impacts on **Political Opinion**: None, no impact

What is the level of impact? None

Details of the likely policy impacts on **Racial Group**: None, no impact

What is the level of impact? None

Details of the likely policy impacts on **Age**: None, no impact

What is the level of impact? None

Details of the likely policy impacts on **Marital Status**: None, no impact

What is the level of impact? None

Details of the likely policy impacts on **Sexual Orientation**: None, no impact

What is the level of impact? None

Details of the likely policy impacts on **Men and Women**: None, no impact

What is the level of impact? None

Details of the likely policy impacts on **Disability**: None, no impact

What is the level of impact? None

Details of the likely policy impacts on **Dependants**: None, no impact

What is the level of impact? None

1. **Are there opportunities to better promote equality of opportunity for people within the Section 75 equalities categories?** No

Detail opportunities of how this policy could promote equality of opportunity for people within each of the Section 75 Categories below:

No – Rationale is as follows:

This policy does not provide opportunities to promote good relations amongst particular groups as it is a technical policy in nature but AFBI is committed to the promotion of good relations. There are a number of policies and procedures in place to ensure the promotion of good relations between employees throughout AFBI.

**Religious Belief -** If Yes, provide details:

If No, provide reasons: As Above

**Political Opinion -** If Yes, provide details:

If No, provide reasons: As Above

**Racial Group -** If Yes, provide details:

If No, provide reasons: As Above

**Age -** If Yes, provide details:

If No, provide reasons: As Above

**Marital Status -** If Yes, provide details:

If No, provide reasons: As Above

**Sexual Orientation -** If Yes, provide details:

If No, provide reasons: As Above

**Men and Women generally -** If Yes, provide details:

If No, provide reasons: As Above

**Disability -** If Yes, provide details:

If No, provide reasons: As Above

**Dependants -** If Yes, provide details:

If No, provide reasons: As Above

1. **To what extent is the policy likely to impact on good relations between people of different religious belief, political opinion or racial group?**

Please provide details of the likely policy impact and determine the level of impact for each of the categories below i.e. either minor, major or none.

Details of the likely policy impacts on **Religious belief**: No impact

What is the level of impact? None

Details of the likely policy impacts on **Political Opinion**: No impact

What is the level of impact? None

Details of the likely policy impacts on **Racial Group**: No impact

What is the level of impact? None

1. **Are there opportunities to better promote good relations between people of different religious belief, political opinion or racial group?**

Detail opportunities of how this policy could better promote good relations for people within each of the Section 75 Categories below:

**Religious Belief -** If Yes, provide details:

If No, provide reasons: No, see reasons below

**Political Opinion -** If Yes, provide details:

If No, provide reasons: No, see reasons below

**Racial Group -** If Yes, provide details:

If No, provide reasons: No, see reasons below

Reasons: This policy does not provide opportunities to promote good relations amongst particular groups as it is a technical policy in nature but AFBI is committed to the promotion of good relations. There are a number of policies and procedures in place to ensure the promotion of good relations between employees throughout AFBI.

**Additional considerations**

**Multiple identity**

Generally speaking, people can fall into more than one Section 75 category. Taking this into consideration, are there any potential impacts of the policy/decision on people with multiple identities?

(*For example; disabled minority ethnic people; disabled women; young Protestant men; and young lesbians, gay and bisexual people).*

None

Provide details of data on the impact of the policy on people with multiple identities. Specify relevant Section 75 categories concerned.

None

**Part 3. Screening decision**

If the decision is not to conduct an equality impact assessment, please provide details of the reasons.

Decision: Screened Out - an equality impact assessment is not required as this is a technical policy with no bearing on the relevant Section 75 categories concerned. It applies equally to all.

If the decision is not to conduct an equality impact assessment the public authority should consider if the policy should be mitigated or an alternative policy be introduced - please provide details.

Not Required

If the decision is to subject the policy to an equality impact assessment, please provide details of the reasons.

Not applicable

All public authorities’ equality schemes must state the authority’s arrangements for assessing and consulting on the likely impact of policies adopted or proposed to be adopted by the authority on the promotion of equality of opportunity. The Commission recommends screening and equality impact assessment as the tools to be utilised for such assessments. Further advice on equality impact assessment may be found in a separate Commission publication: Practical Guidance on Equality Impact Assessment.

**Part 4. Monitoring**

Public authorities should consider the guidance contained in the Commission’s Monitoring Guidance for Use by Public Authorities (July 2007).

The Commission recommends that where the policy has been amended or an alternative policy introduced, the public authority should monitor more broadly than for adverse impact (See Benefits, P.9-10, paras 2.13 – 2.20 of the Monitoring Guidance).

Effective monitoring will help the public authority identify any future adverse impact arising from the policy which may lead the public authority to conduct an equality impact assessment, as well as help with future planning and policy development.

**Part 5 - Approval and authorisation**

Screened by: Amy Gilbride

Position/Job Title: Deputy Head of Culture and Engagement

Date: 24 June 2022

Approved by: Glenn Montgomery

Position/Job Title: Head of Governance & Performance

Date: 24 June 2022

Note: 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 public authority’s website as soon as possible following completion and made available on request.