

## Equality Impact Assessment Toolkit

### TEMPLATE 2 - INITIAL SCREENING OF GROUPED POLICIES\*

**Scope**

\* NOTE: This template can ONLY be used for policies which:

1. Have already been identified as LOW priority
2. Are not likely to need a full impact assessment (see below). However if, through initial assessment it is discovered that a full impact assessment is required, this will need to be recorded separately on template 1

N.B. If this template is used incorrectly the Equality and Diversity Team will return it

Q: When would a policy not need a full impact assessment? A: Where there is no potential for discrimination or where there are no equal opportunity issues. See guidance for more information, but for example where:

- Employment or staff development is not affected
- There is no impact on the public
- Delivery of the policy does not need to be monitored
- Impact of the policy does not affect community relations

If in doubt please contact the Equality and Diversity Team.

N.B. Although the term ‘policy’ is used throughout this document, this is purely for the purpose of simplicity. The Statutory Codes that support the Equality Duties relating to race, disability and gender, require us to also carry out an Equality Impact Assessment for:

- Policies, decisions, practices, procedures (e.g. MPDs, SOPs and guidance), projects, proposals and strategies.

Name of policies/Doc (max 10 per grouping)	Code or reference, if any
A.	
B.	
C.	
D.	
E.	
F.	
G.	
H.	
I.	
J.	

**What has triggered the EIA at this time?**

<b>Policies/Doc</b>	<b>Please tick applicable triggers for each policy identified on page 1</b>		
	Periodic review or evaluation of an existing policy	Change to an existing policy	Development of a new policy
A.			
B.			
C.			
D.			
E.			
F.			
G.			
H.			
I.			
J.			

**Who are the relevant people?**

	<b>NAME</b>	<b>DIRECTORATE</b>	<b>FUNCTION</b>	<b>JOB TITLE</b>
EIAs requested by				
EIAs to be carried out by				

<b>POLICY/DOC OWNERS</b>				
<b>Policies</b>	<b>NAME</b>	<b>DIRECTORATE</b>	<b>FUNCTION</b>	<b>JOB TITLE</b>
A.				
B.				
C.				
D.				
E.				
F.				
G.				
H.				
I.				
J.				

<b>POLICY/DOC AUTHORS (if different from policy/Doc owners)</b>				
<b>Policies</b>	<b>NAME</b>	<b>DIRECTORATE</b>	<b>FUNCTION</b>	<b>JOB TITLE</b>
A.				
B.				
C.				
D.				
E.				
F.				
G.				
H.				
I.				
J.				

### Step 1 – Outlining the policy/Doc

<b>Policies/ Doc</b>	What is the main purpose of the policy/doc?	If it is a change to an existing policy/doc, what is the nature and purpose of the change?	What are the main activities relating to the policy/doc?	Who are, or will be, the main stakeholders in the policy/doc?
A.				
B.				
C.				
D.				
E.				
F.				
G.				
H.				
I.				
J.				

### Step 2 – Assessing the policy/doc relevance to our statutory duties

2.1 Does, or could any aspect of the policy affect our duty to do the following (indicate 'Y' if it could affect our duty, or 'N' if it could not affect our duty).

Policies/ Doc	Promote equality of opportunity?	Eliminate discrimination?	Eliminate harassment?	Promote good community relations?	Promote positive attitudes towards disabled people?	Encourage participation by disabled people?	Consider more favourable treatment of disabled people?
A.							
B.							
C.							
D.							
E.							
F.							
G.							
H.							
I.							
J.							

### Step 3 – Considering where there is, or might be, any impact on equality

3.1	<p>Do you have any evidence that:</p> <ul style="list-style-type: none"> <li>• any aspect of the policy/doc or</li> <li>• the way that it is delivered or accessed</li> </ul> <p>Does, or could, have an <b>impact on groups of people</b> (potential or existing employees, donors, patients, employees of the wider NHS, customers etc.)?</p> <p>(NB evidence could include NHSBT data from HR, Employee Services, Pulse etc. or wider demographic data and other statistics, including census findings, population estimates, the results of previous research or consultations including quantitative and qualitative data, recommendations or reports by representative groups and so on)</p>
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Indicate:

- '+' (plus) in each box where the policy has (or could have) a *positive impact* on some people groups, i.e. benefiting or improving their equality
- '-' (minus) in each box where the policy has (or could have) a *negative impact* on some people groups, i.e. disadvantaging benefitting or increasing their exclusion
- 'N/A' (not applicable) or cross through in each box where evidence suggests the policy does not make a difference

<b>Policies/ Doc</b>	Men	Women	Trans people	Asian or Asian British people	Black or Black British people	Chinese people	People of mixed race	White or White British people	People of any other ethnicity	Disabled people	Lesbians, gay men or bisexuals	Particular age groups	Particular faith groups
A.													
B.													
C.													
D.													
E.													
F.													
G.													
H.													
I.													
J.													

3.2 Is there any evidence that the policy does, or could, affect relations between people from different racial groups?

Policies	Yes X	No X
A.	<input type="checkbox"/>	<input type="checkbox"/>
B.	<input type="checkbox"/>	<input type="checkbox"/>
C.	<input type="checkbox"/>	<input type="checkbox"/>
D.	<input type="checkbox"/>	<input type="checkbox"/>
E.	<input type="checkbox"/>	<input type="checkbox"/>
F.	<input type="checkbox"/>	<input type="checkbox"/>
G.	<input type="checkbox"/>	<input type="checkbox"/>
H.	<input type="checkbox"/>	<input type="checkbox"/>
I.	<input type="checkbox"/>	<input type="checkbox"/>
J.	<input type="checkbox"/>	<input type="checkbox"/>

3.3

**If you do not have sufficient evidence to complete Step 3.1, please contact the National Equality and Diversity team in the first instance on 0121 254 0511.**

## Is a full EIA required?

### YES, if:

- You have identified existing, or potential:

- effects on any of our statutory duties, answering any 'Yes' in step 2.1;
- positive or negative impacts, ticking either the 'positive' or 'negative' columns in step 3.1; or
- affect on relations between people from different racial groups, answering 'Yes' in step 3.2

Then you should carry out a Full EIA for the relevant policy/doc(s).

**N.B. A full EIA must be recorded for each policy separately on EIA template 1**

### NO, if:

- You have answered 'No' to all parts of section 2.1 and 3.2 and ticked the 'no difference in impact' column in step 3.1,

Then an EIA is not required and you should:

- a) give brief reasons for your decision in the boxes below:
- b) complete and sign the Sign Off Certificate.

Is a full Equality Impact Assessment required?			
Policies	Yes X	No* X	*If 'no' summarise reasons below for no EIA – there may be different or the same reasons for each policy
A.	<input type="checkbox"/>	<input type="checkbox"/>	
B.	<input type="checkbox"/>	<input type="checkbox"/>	
C.	<input type="checkbox"/>	<input type="checkbox"/>	
D.	<input type="checkbox"/>	<input type="checkbox"/>	
E.	<input type="checkbox"/>	<input type="checkbox"/>	
F.	<input type="checkbox"/>	<input type="checkbox"/>	
G.	<input type="checkbox"/>	<input type="checkbox"/>	
H.	<input type="checkbox"/>	<input type="checkbox"/>	
I.	<input type="checkbox"/>	<input type="checkbox"/>	
J.	<input type="checkbox"/>	<input type="checkbox"/>	

### NB

It is recommended that the 'low' priority policies and those deemed not relevant to the equality duty is impact assessed every three years. The Initial Assessment and Sign Off: Initial screening certificate will also need to be completed.

**Sign-off: Initial Screening certificate**

**ONLY FOR THOSE GROUPED POLICIES/DOCs WHICH DO NOT NEED AN EIA**

Name of policies/docs (max 10 per grouping) – ONLY enter policies/docs which do NOT need an EIA	Policy code or reference, if any
A.	
B.	
C.	
D.	
E.	
F.	
G.	
H.	
I.	
J.	

**Step 1** - complete the section immediately below

<p>These policies/docs do not have a significant impact upon equality issues and therefore do not require a full EIA.</p>		
Name of Assessor	Job title	Functional area/Directorate
Signature		Date initial screening completed

**Step 2** – send pages 1- 5 to the National Equality and Diversity (E and D) team

<p>Quality check: screening document has been checked by EIA coordinator:</p>		
Name:	Date:	Signature:

**Step 3** – National E and D team send to appropriate Senior Management Team (SMT) member for completion of the section below

Authorised by ( <i>Senior Management Team</i> )	
Date of Authorisation	
Date for next review	

Step 4 –Now please save a copy of this form on your Q drive and send it as an attachment to: [marcia.wolfe@nhsbt.nhs.uk](mailto:marcia.wolfe@nhsbt.nhs.uk)  
SMT to send a signed, completed copy of the initial screening certificate **only** to the National Equality and Diversity

Next steps

You should always:

- keep a copy of the completed Sign Off: Initial screening certificate, together with the Initial Screening pages. It is recommended that this is kept wherever the policy is stored.
- Make arrangements to monitor the policy and review the initial screening in line with NHSBT EIA guidance.