

ULSTER UNIVERSITY POLICY SCREENING PRO-FORMA

Information about the policy

Note: 'Policy' includes any strategy, policy (proposed/amended/existing) or practice and/or decision, whether written or unwritten.

Name of the policy

Records Management Policy

Is this an existing, revised or a new policy?

New

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

The aim of the policy is to ensure that records are managed actively and systematically, at all times, to ensure transparency, accessibility, accountability and legal and regulatory compliance.

In line with Paper-Lite Objective, staff will be encouraged to digitize records to reduce volume of paper and also improve access for users with a disability.

Are there any Section 75 categories which might be expected to benefit from the intended policy? If so, explain how.

This policy enables people with a disability to access records by utilising software such as Office 365 Accessibility Tools. For example, screen readers, immersive readers and text spacing.

Who initiated or wrote the policy?

Digital Records Manager

Who owns and who implements the policy?

The Chief Digital and Information Officer owns the policy. All staff are responsible for the implementing this policy.

Part 1

Implementation factors

Are there any factors which could contribute to/detract from the intended aim/outcome of the policy/decision? (Please select one answer)

Yes

No

If yes, are they

financial

legislative Changes to regulatory & compliance legislation

other Changes to University Policies

Main stakeholders affected

Who are the internal and external stakeholders (actual or potential) that the policy will impact upon?

Staff

Students

Other service users (e.g. prospective students, conference delegates)

Other public sector organisations

Voluntary/community/trade unions

Other, please specify _____

Other policies with a bearing on this policy

Policy Name	Policy Owner
Digital Strategy	Chief Digital and Information Officer
Fifty & Fifty Strategic Plan	Vice Chancellor
GDPR Policy	Office of the University Secretary
Records Retention & Disposal Schedule	Office of the University Secretary

Part 1

Available evidence

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

Note: evidence can come from many sources. Examples include the University's management information systems, internal or external research, surveys or consultation exercises. Anecdotal evidence such as feedback from service users may also be used.

Section 75 category	Details of evidence/information
Religious belief	<p>The University's EO data were reviewed. On 6 February 2020, our staff profile was 50.3% Protestant, 49.7% Catholic. Compared with 6 February 2015, this indicates a 3.6% increase in Catholic staff.</p> <p>In the Academic Year (AY) 2019/20, 73.9% of our students identified as Christian and 12.7% identified as having 'No religion'. This shows little change compared with AY2014/15, when 75.3% identified as Christian and 12.4% identified as having 'No religion'.</p>
Political opinion	<p>The University does not collect information on Political Opinion or make assumptions regarding Political Opinion based on Community Background.</p>
Racial group	<p>The University's EO data were reviewed. On 6 February 2020, our staff profile was 94.4% White, 5.6% Black and Minority Ethnic (BME). This indicates a 1.6% increase in BME staff compared with 2015.</p> <p>In AY 2019/20, 5.5% of our students identified as BME. This indicates a 1.9% increase in BME students compared with AY2014/15.</p> <p>Our BME profile suggests that we are three times as diverse as the local population. The Northern Ireland Census (2011) suggests that 1.8% of the NI population is BME.</p>
Age	<p>The University's EO data were reviewed. On 6 February 2020, over one third (34.6%) of our staff were in the '46-55' age band. 26% of staff were in the '36-45' age band and 22.2% of staff were aged '56 and above'.</p>

Part 1

	<p>In AY 2019/20, the majority of students (61.5%) were aged 21 and under 40. This indicates a 0.2% increase in students within this age band compared with AY 2014/15. This coincides with a 0.3% increase in students aged under 21 (27.3%) and no increase in students aged 40 and over (11.2%).</p>
Marital status	<p>The University's EO data were reviewed. In 2020, 60% of staff were 'Married or in a Civil Partnership', a marginal decrease of 1% compared to 2015 (61%).</p> <p>In AY2019/20, 76.2% of students were 'Single', a 1.6% decrease compared with AY2014/15.</p>
Sexual orientation	<p>Although we collect staff data on sexual orientation, this is not considered to be reliable. We do not collect student data on sexual orientation.</p>
Men and women generally	<p>The University's EO data were reviewed. In 2020, 56% of staff were 'Female'. This indicates a 2% increase in female staff compared with 2015.</p> <p>In AY2019/20, 57.7% of students were 'Female', a 1.6% increase compared with AY2014/15.</p>
Disability	<p>The University's EO data were reviewed. In 2020, 5.1% of staff declared a disability, an increase of 1.1% compared with 2015.</p> <p>In AY2019/20, 11% of students declared a disability, an increase of 2.6% compared with AY2014/15.</p> <p>Our disability declaration rate is lower than expected, compared with the local population. The NI Census (2011) found that 20.6% of the NI population stated that their day-to-day activities were limited because of a long-standing health problem or disability.</p>
Dependants	<p>The University's EO data were reviewed. In 2020, 46.2% of staff had dependants. This indicates an increase of 1.5% compared with 2015.</p> <p>In AY2019/20, 15% of students declared they had dependants, similar to AY2014/15.</p>

Part 1

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? (Please specify details for each of the Section 75 categories)

Section 75 category	Details of needs/experiences/priorities
Religious belief	None identified
Political opinion	None identified
Racial group	None identified
Age	None identified
Marital status	None identified
Sexual orientation	None identified
Men and women generally	None identified
Disability	<p>Accessible communication formats (UK government guidance, 2018)</p> <p>https://www.gov.uk/government/publications/inclusive-communication/accessible-communication-formats</p> <p>People with visual impairment, for example, are likely to require documents in alternative / accessible formats.</p>
Dependants	None identified

Consultation

Consultation with relevant groups, organisations or individuals about the policy can provide useful information about issues/opportunities which are specifically related to them (i.e. evidence to inform the policy). Please indicate whether you carried out (or intend to carry out) any consultation exercises prior to equality screening?

The following groups were consulted during the development of the Records Management Policy:

- Library Staff
- Office of the University Secretary
- Heads of School
- Deputy Chief Digital and Information Officer
- Head of ICT Governance
- Chief Digital Information Officer
- Director of People and Culture
- Trade Unions – currently in consultation process

Screening

Introduction

The answers to the following screening questions will assist the University in making a decision whether or not there is a need to carry out an equality impact assessment on the policy. The following information is provided to help you to identify and comment on the level of likely impact of the policy in questions 1-4:

Select 'major' impact if:

- a) The policy is significant in terms of its strategic importance;
- b) Potential equality impacts are unknown, because, for example, there are 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;
- c) 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;
- d) 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;
- e) The policy is likely to be challenged by way of judicial review;
- f) The policy is significant in terms of expenditure.

Select 'minor' impact if:

- a) The policy is not unlawfully discriminatory and any residual potential impacts on people are judged to be negligible;
- b) 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;
- c) 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;
- d) By amending the policy there are better opportunities to better promote equality of opportunity and/or good relations;
- e) Differential impact observed and opportunities exist to better promote equality of opportunity and/or good relations.

Part 2

Select 'none' if:

- a) The policy has no relevance to equality of opportunity or good relations.
- b) 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 in Part 1, please complete the screening questions (Questions 1-4).

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)		
Section 75 category	Details of policy impact	Level of impact? (minor/major/none)
Religious belief	This policy is unlikely to impact on equality of opportunity or good relations for this category as it is technical in nature.	None
Political opinion	This policy is unlikely to impact on equality of opportunity or good relations for this category as it is technical in nature.	None
Racial group	This policy is unlikely to impact on equality of opportunity or good relations for this category as it is technical in nature.	None
Age	This policy is unlikely to impact on equality of opportunity or good relations for this category as it is technical in nature.	None
Marital status	This policy is unlikely to impact on equality of opportunity or good relations for this category as it is technical in nature.	None
Sexual orientation	This policy is unlikely to impact on equality of opportunity or good relations for this category as it is technical in nature.	None
Men and women generally	This policy is unlikely to impact on equality of opportunity or good relations for this category as it is technical in nature.	None
Disability	This policy is likely to have a positive impact on equality of opportunity for disabled people. By encouraging staff to digitise record, this increases access for people with a disability.	Minor (+)
Dependants	This policy is unlikely to impact on equality of opportunity or good relations for this category as it is technical in nature.	None

Part 2

2 Are there opportunities to better promote equality of opportunity for people within the Section 75 equalities categories?		
Section 75 category	If Yes , provide details	If No , provide reasons
Religious belief		No, the policy is technical in nature
Political opinion		No, the policy is technical in nature
Racial group		No, the policy is technical in nature
Age		No, the policy is technical in nature
Marital status		No, the policy is technical in nature
Sexual orientation		No, the policy is technical in nature
Men and women generally		No, the policy is technical in nature
Disability		No, the policy is technical in nature
Dependants		No, the policy is technical in nature

Part 2

3 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)		
Good relations category	Details of policy impact	Level of impact (minor/major/none)
Religious belief	The policy is unlikely to impact on good relations between people of different religious belief.	None
Political opinion	The policy is unlikely to impact on good relations between people of different political opinion.	None
Racial group	The policy is unlikely to impact on good relations between people of different racial groups.	None

4 Are there opportunities to better promote good relations between people of different religious belief, political opinion or racial group?		
Good relations category	If Yes , provide details	If No , provide reasons
Religious belief		The policy has no relevance to good relations
Political opinion		The policy has no relevance to good relations
Racial group		The policy has no relevance to good relations

Additional considerations

Multiple identity

<p>5 Generally speaking, people can fall into more than one Section 75 category. Taking this into consideration, please provide details of any potential impacts of the policy/decision on people with multiple identities? (<i>For example; disabled minority ethnic people; disabled women; young Protestant men; and young lesbians, gay and bisexual people</i>). Please include details of any data which you have used to determine/identify this impact</p>	
<p>Section 75 categories (please specify)</p>	<p>Details of policy impact and details of data which describes the policy impact</p>
<p>All</p>	<p>This policy is likely to have a positive impact on any person with a disability</p>

Disability Duties

<p>6. Does the policy provide an opportunity to encourage disabled people to participate in University life?</p>	
<p>If Yes, provide details</p>	<p>If No, provide reasons</p>
<p>Yes, it enhances participation by encouraging the creation of accessible / digitised records</p>	

<p>7. Does the policy provide an opportunity to promote positive attitudes towards disabled people?</p>	
<p>If Yes, provide details</p>	<p>If No, provide reasons</p>
	<p>No, the policy is technical in nature</p>

Screening decision

Based on the evidence considered and outlined in Part 1 and the responses to the screening questions (Part 2), please indicate the screening decision for this policy:

Note: The University should take particular care not to screen out policies that have a procurement aspect if there is potential to promote equality of opportunity through the procurement of services.

Screen in the policy (subject the policy to an Equality Impact Assessment)
i.e. the likely impact is 'major' in respect of one, or more of the equality of opportunity and/or good relations categories

Screen out the policy without mitigation or an alternative policy proposed to be adopted (no Equality Impact Assessment)
i.e. the likely impact is 'none' in respect of all of the equality of opportunity and/or good relations categories

Screen out the policy and **mitigate the impacts on equality** by **amending or changing the policy**, or by **developing an alternative policy or action** (no Equality Impact Assessment)
i.e. the likely impact is 'minor' in respect of one, or more of the equality of opportunity and/or good relations categories

Part 3

If the decision is to subject the policy to an equality impact assessment (i.e. 'screen in' the policy), please provide details of the reasons.

If the decision is not to conduct an equality impact assessment (i.e. 'screen out' the policy), please provide details of the reasons.

If the decision is not to conduct an equality impact assessment (i.e. 'screen out' the policy) and mitigate the impacts on equality by amending or changing the policy, or by developing an alternative policy or action, please provide reasons to support your decision, together with the proposed changes/amendments or alternative policy:

The likely impact is 'minor' in respect of one, or more of the equality of opportunity and/or good relations categories.

The aim of the policy is to ensure that records are managed actively and systematically at all times, ensuring transparency, accessibility, accountability and legal and regulatory compliance

In line with University policy, the Records Management policy will be reviewed two years after it has been implemented, and if necessary amended.

Timetabling and prioritising

If the policy has been ‘**screened in**’ for equality impact assessment, then please answer the following questions to determine its priority for timetabling the equality impact assessment.

On a scale of 1-3, with 1 being the lowest priority and 3 being the highest, assess the policy in terms of its priority for equality impact assessment.

Priority criterion	Rating (1-3)
Effect on equality of opportunity and good relations	
Social need	
Effect on people’s daily lives	
Relevance to the University’s functions	

Note: The Total Rating Score will be used to prioritise the policy in rank order with other policies screened in for equality impact assessment. This list of priorities will assist the University in timetabling. Details of the University’s Equality Impact Assessment Timetable will be included in its quarterly Screening Reports.

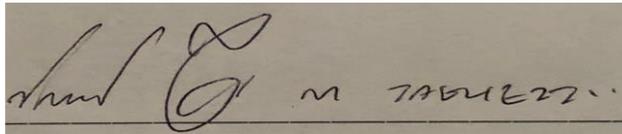
Is the policy affected by timetables established by other relevant public authorities?

Yes

No

If yes, please provide details:

Approval and authorisation

	Position/Job Title	Date
Screened by: 	Chief Digital and Information Officer	29 July 2020
Approved by: 	Director of People and Culture	2 November 2020

Note: Following approval by the Senior Leadership Team/Senate, the policy owner must inform the University Secretary that the policy has been approved. Once the Council of the University has been informed of the policy (either directly or through an appropriate Committee), the policy owner can then promulgate the policy and develop appropriate training or awareness raising material in relation to the policy.

A copy of the screening pro-forma will be made available on the University's website and be made available on request.

Review

Note: Policies must be reviewed at least every two years, but sooner if changes in legislation or other variables require review.

This policy is due for review (in terms of its impact on equality of opportunity and good relations) by the policy owner on:

(Insert date)