

## UNIVERSITY OF ULSTER POLICY SCREENING PRO FORMA

What is the Policy? (Name/Description of the Policy)

Risk Management Policy – this is a revision to the existing Policy to reflect changes to the titles to some groups which have specific responsibilities for implementing the Policy.

What is the aim, objective or purpose of the Policy?

To set out the University's approach to risk management and control in order to protect the institution and its stakeholders from unforeseen or unacceptable exposure to risks.

Who defines or defined the Policy and who implements it?

The Director of Corporate Planning and Governance is the Policy Owner and it is implemented by all Members of the Senior Management Team i.e. the Vice-Chancellor, Pro-Vice-Chancellors, Deans, Directors and Provosts

Is the Policy applied uniformly throughout the University?    Yes     No

If "no", what are the consequences in terms of the screening process?

Who are the stakeholders in relation to this Policy, e.g. DEL, UCAS?

Council , Senate, Audit Committee, Strategy and Governance Committee and all internal organisations units, DEL and other Assembly departments that provide funding, HEFC E and external funders.

How do we interface with other bodies in relation to implementation of this Policy?

As part of mandatory annual returns HEFCE and DEL receive assurance reports from the University's Council and the Accounting Officer (the VC) on the risk management and systems if internal controls. DEL also receives formally, six-monthly (March and October) a from the VC a Statement of Internal Control and such statement is also included in the annual Financial Statements together with a Corporate Governance Statement which includes information on the Council's responsibilities for risk management and internal control.

What data are available to facilitate the screening of this Policy?

This is a technical policy and data to support it are contained in a range policy and performance –related documents such: the DEL Financial Memorandum with the University including the Audit Code of Practice; internal documents such as the Corporate Plan and associated subsidiary strategies for core business activities; the Institutional Sustainability Indicators and annual Integrated Corporate Programme.

1. Is there any evidence of higher or lower participation or uptake by the following characteristics?

	Yes	No	Not Known
Religious Belief		√	
Political Opinion		√	
Racial Group		√	
Age		√	
Marital Status		√	
Sexual Orientation		√	
Gender		√	
Disability		√	
Dependants		√	

**Note:** A broad interpretation should be taken of the word 'evidence'. It should include anecdotal evidence and evidence derived from qualitative analysis or quantitative analysis where available.

Please comment:

This is a technical policy which applies equally across the whole University and all its constituent parts.

2. Is there any evidence that different groups have different needs, experiences, issues and priorities in relation to this Policy?

	Yes	No	Not Known
Religious Belief		√	
Political Opinion		√	
Racial Group		√	
Age		√	
Marital Status		√	
Sexual Orientation		√	
Gender		√	
Disability		√	
Dependants		√	

**Note:** A broad interpretation should be taken of the word 'evidence'. It should include anecdotal evidence and evidence derived from qualitative analysis or quantitative analysis where available.

Please comment:

(see comment at 1 above)

3. Have consultations with relevant groups, organisation or individuals indicated that policies of this type create problems specific to them?

	Yes	No	Not Known
Religious Belief		√	
Political Opinion		√	
Racial Group		√	
Age		√	
Marital Status		√	
Sexual Orientation		√	
Gender		√	
Disability		√	
Dependants		√	

**Note:** A broad interpretation should be taken of the word 'evidence'. It should include anecdotal evidence and evidence derived from qualitative analysis or quantitative analysis where available.

Please comment:

(see comment at 1 above)

4. Is there an opportunity to promote equality of opportunity or community relations better by altering the Policy, or by working with others, in Government, or in the larger community in the context of this Policy?

Yes  No

Please elaborate:

The Policy relates to risk management and control across all the University's business activities and interactions with other organisations, agencies and groups etc. As such equality of opportunity, good relations and adherence to the University's legal obligations in this respect are integral to the effective application of the policy.

5. Does the Policy discourage disabled people from participating in public life and fail to promote positive attitudes towards disabled people?

Yes  No

Please elaborate:

The effective application of the policy could have a positive impact in promoting positive attitudes to disabled persons by including actions to mitigate against non-compliance with the equality duties and development and application of good practice across the institution and in our interactions with other organisations

6. Does the Policy provide an opportunity to better promote positive attitudes towards disabled people or encourage their participation in University life?

Yes  No

Please elaborate:

The effective application of the policy has a positive impact in promoting positive attitudes to disabled persons by including actions to mitigate against non-compliance with the equality duties and development and application of good practice across the institution.

7. If the answer to any of the questions in 1 to 6 is yes, please indicate whether you consider the Policy may significantly impact on the University's obligation to have due regard to the need to promote equality of opportunity.

Please elaborate:

The revised Policy will not impact on the University's duties in this regard.

8. What data are required in the future to ensure effective monitoring?

Reports on corporate plan and associated strategies implementation through *inter alia* the Institutional Sustainability Indicators. Integrated Corporate Programme, regular reports to university committees.

9. In the context of question 3, are there any relevant groups which you believe should be consulted? Please specify.

No – this is revised Policy is technical in nature

10. Please indicate whether a full impact assessment is recommended.

Yes  No

Please elaborate:

The University has in place equality policies and practices and, routinely, reviews new and revised policies two years after implementation.

**POLICY** \_\_\_\_\_

**Timetable for impact assessment**

- a. On a scale of 1-5, 1 being the highest priority and 5 being the lowest, assess the Policy in terms of priorities for impact assessment.

	1 - 5
Social Need	
Effect on people's daily lives	
Effect on economic, social and human rights	

Please indicate whether you think this policy should be reviewed in year 1,2,3,4 or 5.

Year \_\_\_\_\_

- b. Is the Policy affected by a strategic planning documents e.g. Agenda for Action, Institutional Plan, Strategic Development Plan?

Yes                      No

Please elaborate

- c. Is the Policy affected by the time table established by other relevant public authorities or organisations in relation to common functions?

Yes                      No

Please elaborate

- d. What is the scale of expenditure incurred by the Policy?

Preliminary  
Screening by: Irene Aston

Date: 24Februry 2012

