

## SECTION 75 POLICY SCREENING FORM

### Section 75 Statutory Equality Duties

<http://www.equalityni.org/S75duties>

The promotion of equality of opportunity entails more than the elimination of discrimination. It may also require proactive measures to be taken to maintain and secure equality of opportunity.

Section 75 (1) requires the University in carrying out its functions, powers and duties to have *due regard to the need to promote equality of opportunity* between –

- persons of different religious belief, political opinion, racial group, age, marital status, or sexual orientation
- men and women generally
- persons with a disability and persons without
- persons with dependants and persons without.

Without prejudice to the obligations set out above, the University is also required to:

- a) have *regard to the desirability of promoting good relations* between persons of different
  - religious belief
  - political opinion; or
  - racial group
- b) meet legislative obligations under the Disability Discrimination Order.

## **What is a policy?**

The Equality Commission for Northern Ireland state in their guidance<sup>1</sup> that the term 'policy' is used to denote any strategy, policy (proposed/amended/existing) or practice and/or decision, whether written or unwritten.

The University's Equality Scheme reflects the Equality Commission's definition of a policy and this should be applied in determining what needs to be screened.

If you are in doubt, please contact the Diversity and Inclusion Unit for advice. Equality screening guidance is also available at [Queen's website](#) or by contacting the Diversity and Inclusion Unit.

## **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.

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

---

<sup>1</sup>Section 75 of the Northern Ireland Act 1998, A Guide for Public Authorities' (April 2010), page 30. A policy may include planning decisions, service changes, corporate strategies, policy development, practices, guidelines, procedures and protocols; board papers

**A. Information about the policy**

Name of the policy to be screened and description

Policy on the Acceptance of Gifts, Gratuities and Hospitality

---

Is this an existing, revised or a new policy? (please append policy to the screening form)

Revised policy

---

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

The aim of the policy is to provide guidance to staff and external lay members of Senate/University Committees on the circumstances in which it is, and is not, appropriate to accept gifts, gratuities and hospitality. It is also designed to provide protection, both for these individuals and for the University, on those occasions when a gift or hospitality has been accepted, by recording these and the reasons for their acceptance, in an accountable, objective and transparent way.

---

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

If so, explain how.

Yes. All Section 75 categories are expected to benefit from the policy as it provides guidance.

---

Who initiated or wrote the policy?

Registrar's Office.

---

Directorate responsible for devising and delivering the policy?

Registrar's Office.

---

## **Background to the Policy to be screened.**

Include details of any pre- consultations/consultations which have been conducted and/or whether the policy has previously been tabled at the University's Operating Board or the Standing Committee of the Senate.

The policy was initially written in 2012 and has been reviewed, on an annual basis since then, by the University Audit Committee. Awareness and compliance to the policy was reviewed in 2019 through consultation with School Managers, Professional Services Directors and Faculty Directors of Operations and it was considered that awareness of the Policy was low. Prior to implementing actions to raise awareness the policy was benchmarked against similar policies in place at 10 other UK Universities and amendments made accordingly.

The policy was presented to the University Operating Board on 11 May 2020 and to the Audit Committee on 21 May 2020 and was approved on both occasions.

## **B. Implementation factors**

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

If yes, are they

financial?

legislative?

other?( please specify)

The implementation of a comprehensive communication plan to ensure that staff are aware of the requirements outlined in the revised policy. \_\_\_\_\_

## **C. Main stakeholders affected**

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

staff

- service users
- other public sector organisations
- voluntary/community/trade unions
- other, please specify: Members of Senate and University Committees \_\_\_\_\_

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

- what are they? (please list)
  - Code of Conduct
  - Register of Interests Policy
  - Bribery Act 2010 Policy
  - Anti-Fraud Policy
  - Policy for the Acceptance/Refusal of Gifts, Endowments and Legacies
  - Guidance Policy on Staff Relationships
  - Grievance and Discipline Procedures
  - Financial Procedures Manual
- who owns them?
  - Code of Conduct - People and Culture Directorate
  - Register of Interests Policy - Registrar's Office
  - Bribery Act 2010 Policy - Finance Directorate
  - Anti-Fraud Policy - Finance Directorate
  - Policy for the Acceptance/Refusal of Gifts, Endowments and Legacies - DARO
  - Guidance Policy on Staff Relationships - People and Culture Directorate
  - Grievance and Discipline Procedures - People and Culture Directorate
  - Financial Procedures Manual - Finance Directorate

## E. Available evidence

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

This means any data or information you currently hold in relation to the policy or have gathered during policy development. Evidence to inform the screening process may take many forms and should help you to decide who the policy might affect the most. It will also help ensure that your screening decision is informed by relevant data.

Section 75 category	Details of evidence/information
Religious belief	Neither Protestant or Catholic: 505 Non-determined: 403 Not from Northern Ireland: 9 Perceived Non-determined: 248 Perceived Protestant: 62 Perceived Roman Catholic: 82 Protestant: 1,440 Roman Catholic: 1,646 Unknown: 22
Political opinion	Unknown
Racial group	Asian or Asian British - Bangladeshi: 2 Asian or Asian British - Indian: 65 Asian or Asian British - Pakistani: 15 Black or Black British - African: 24 Black or Black British - Caribbean: 2 Chinese: 85

	<p>Information refused: 23</p> <p>Irish Traveller: 1</p> <p>Not Known: 26</p> <p>Other Asian Background: 50</p> <p>Other Black Background: 5</p> <p>Other Ethnic Background: 17</p> <p>Other Mixed Background: 29</p> <p>Other White Background:170</p> <p>Prefer not to say: 39</p> <p>White - British: 2,014</p> <p>White - Irish: 1,397</p> <p>White - Other European: 300</p> <p>Unknown: 153</p>
<b>Age</b>	<p>25-29: 374</p> <p>30-34: 656</p> <p>35-39: 723</p> <p>40-44: 692</p> <p>45-49:615</p> <p>50-54: 525</p> <p>55-59: 446</p> <p>60-64: 242</p> <p>65+: 72</p> <p>72: 1</p> <p>Under 25: 71</p>
<b>Marital status</b>	<p>Civil Partnership: 42</p> <p>Divorced: 119</p> <p>Married: 2,326</p>

	<p>Other: 152</p> <p>Prefer not to say: 88</p> <p>Separated: 65</p> <p>Single: 1,419</p> <p>Widowed: 24</p> <p>Unknown: 182</p>
Sexual orientation	<p>I do not wish to answer: 497</p> <p>Of a different sex: 3,133</p> <p>Of either sex: 43</p> <p>Of the same sex: 137</p> <p>Unknown: 607</p>
Men and women generally	<p>Female: 2,391</p> <p>Male: 2,026</p>
Disability	<p>No Disability: 3,038</p> <p>Not known: 1,058</p> <p>Yes: 321</p>
Dependants	<p>No: 2,040</p> <p>Yes: 1,941</p> <p>Unknown: 436</p>

## F. Needs, experiences and priorities

Having looked at the data/information you have collected in the question above, what does this tell you are the needs, experiences and priorities for the people who fall into the groups below, in relation to your policy<sup>2</sup>? And what is the actual or likely impact on equality of opportunity for

<sup>2</sup> If you do not have enough data to tell you about potential or actual impacts you may need to generate more data to distinguish what groups are potentially affected by your policy.



those affected by the policy. (See appendix 1 for information on levels of impact).

<b>Section 75 category</b>	<b>Details of needs/experiences/priorities and details of policy impact</b>	<b>Level of Impact</b>
Religious belief	The policy will provide guidance to all staff and members of Senate and University Committees and will have no impact on the grounds of religious belief.	None
Political opinion	As above but with regard to political opinion.	None
Racial group	As above but with regard to racial group.	None
Age	As above but with regard to age.	None
Marital status	As above but with regard to marital status.	None
Sexual orientation	As above but with regard to sexual orientation.	None
Men and women generally	As above but with regard to gender.	None
Disability	As above but with regard to disability.	None
Dependants	As above but with regard to dependents.	None

## Part 2 Screening questions

<b>1 What is the likely impact on equality of opportunity for those affected by this policy, for each of the Section 75 equality categories?</b>		
Section 75 category	Issue	Minor/major/none?
Religious belief	The policy will provide guidance to all staff and members of Senate and University Committees and will have no impact on the grounds of religious belief.	None
Political opinion	As above but with regard to political opinion.	None
Racial group	As above but with regard to racial group.	None
Age	As above but with regard to age.	None
Marital status	As above but with regard to marital status.	None
Sexual orientation	As above but with regard to sexual orientation.	None
Men and women generally	As above but with regard to gender.	None

Disability	As above but with regard to disability.	None
Dependants	As above but with regard to dependants.	None

**2 Are there any actions which could be taken to reduce any adverse impact which has been identified or opportunities to better promote equality of opportunity?**

Section 75 category	Issue	Mitigating Measure
Religious belief	N/A	None
Political opinion	N/A	None
Racial group	N/A	None
Age	N/A	None
Marital status	N/A	None
Sexual orientation	N/A	None
Men and women generally	N/A	None

Disability	N/A	None
Dependants	N/A	None

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

Good relations category	Details of policy impact	Level of impact minor/major/none
Religious belief	No impact.	None.
Political opinion	No impact.	None.
Racial group	No impact.	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 <b>Yes</b> , provide details	If <b>No</b> , provide reasons
Religious belief		The policy is purely technical in nature.
Political opinion		The policy is purely technical in nature.

Racial group		The policy is purely technical in nature.
--------------	--	---

## **E 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).*

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

No impact.

## **F Disability Duties**

### **Disability Duties**

Consider whether the policy:

- a) Discourages disabled people from participating in public life and fails to promote positive attitudes towards disabled people.  
No impact
- b) Provides an opportunity to better positive attitudes towards disabled people or encourages their participation in public life.  
No impact

### Part 3. Screening decision

Through screening, an assessment is made of the likely impacts, either major, minor or none, of the policy on equality of opportunity and/or good relations for the relevant categories. Completion of screening should lead to one of the following three outcomes; please mark an x in the appropriate box:

**'Screened out'** i.e. the likely impact is none and no further action is required

**'Screened out' with mitigation** i.e. the likely impact is minor and measures will be taken to mitigate the impact or an alternative policy will be proposed

**'Screened in' for an equality impact assessment (EQIA)** i.e. the likely impact is major and the policy will now be subject to an EQIA

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

The policy has no relevance to equality of opportunity or good relations. 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.

If the decision is not to conduct an equality impact assessment, but the policy has minor equality impacts, please provide details of the reasons for this decision and of any proposed mitigating measures or proposed alternative policy.

N/A

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

N/A



## D Timetabling and prioritising

If the policy has been ‘**screened in**’ for equality impact assessment 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	Click
Social need	Click
Effect on people’s daily lives	Click
Relevance to the University’s functions	Click

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

If yes, please provide details

N/A
-----

## **Part 4. Monitoring**

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

### **Please detail how you will monitor the effect of the policy?**

Initially, completed Gift and Hospitality Declarations will be monitored on a monthly basis to identify increases in compliance to the Policy. This will also identify potential areas for policy improvement and development. Compliance will be reported to the University Operating Board and Audit Committee on an annual basis.

### **What data is required in the future to ensure effective monitoring of the policy?**

Compliance data.

## **Part 5 - Data Protection**

If applicable, has legal advice been given due consideration?

Yes  No  N/A

Has due consideration been given to information security in relation to this policy?

Yes  No

## Part 6 - Approval and authorisation

<b>Screened by:</b>	<b>Position/Job Title</b>	<b>Date</b>
Julie Carse	Administrator	17 June 2020
<b>Approved by:</b>		
Clare Jamison	Head of Registrar's Office	17 June 2020

A copy of the screening form, for each policy screened, should be 'signed off' and approved by the senior manager responsible for the policy.

In instances where a screening decision concludes that an EQIA is required then the screening form should be countersigned by a Director.

There may at times be policy issues which fall within the scope of being novel, contentious or politically sensitive and could only be taken forward following consultation with the University's Operating Board and/or Standing Committee of the Senate. Where a policy screening highlights such issues the screening form must be signed off by the Director prior to proceeding to the University's Operating Board and/or the Standing Committee of the Senate.

Following ratification, a copy of the approved screening form, and associated policy must be forwarded to the Diversity and Inclusion Unit for publication on the University's website.

## **ADDITIONAL INFORMATION TO INFORM THE ANNUAL EQUALITY PROGRESS REPORT TO THE EQUALITY COMMISSION**

1. Please provide details of any measures taken to enhance the level of engagement with individuals and representative groups as part of screening.

N/A

2. In developing this policy were any changes made as a result of equality issues raised during :

- (a) pre-consultation / engagement;
- (b) formal consultation;
- (c) the screening process; and/or
- (d) monitoring / research findings.

If so, please provide a brief summary including how the issue was identified, what changes were made, and what will be the expected outcomes / impacts for those affected.

N/A

3. Does this policy / decision include any measure(s) to improve access to services including the provision of information in accessible formats? If so please provide a short summary.

N/A



## Appendix 1

### Levels of Impact (Questions 6-9)

#### Introduction

In making a decision as to whether or not there is a need to carry out an equality impact assessment, you should consider the answers provided to the questions above.

In addition, the **screening questions** above further assist you in assessing your policy and must be completed. Some of these questions require you to assess the level of impact of the proposed policy on “equality of opportunity” and “good relations”. The scale used when assessing this impact is either “None”, “Minor” or “Major”. The following paragraphs set out what each of these terms mean.

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

If your 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 your 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 introduce:

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

### **In favour of a 'major' impact**

- a) The policy is significant in terms of its strategic importance;
- b) 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;
- 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.

### **In favour of 'minor' impact**

- 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.

### **In favour of none**

- a) The policy has no relevance to equality of opportunity or good relations.

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.

