

## Impact Assessment Screening Tool

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<b>Name of policy or process</b>	GOC Strategy 2025 – 2030
<b>Purpose of policy or process</b>	To set out the GOC's strategic direction for the period 2025-2030 and identify key strategic themes within that period
<b>Team/Department</b>	Policy and Standards
<b>Date</b>	25/01/2024
<b>Screen undertaken by</b>	Charlotte Urwin
<b>Approved by</b>	Steve Brooker
<b>Date approved</b>	11/04/2024
<b>Instructions:</b>	<ul style="list-style-type: none"> <li>• Circle or colour in the current status of the project or policy for each row.</li> <li>• <b>Do not miss out any rows.</b> If it is not applicable – put N/A, if you do not know put a question mark in that column.</li> <li>• This is a live tool, you will be able to update it further as you have completed more actions.</li> <li>• Make sure your selections are accurate at the time of completion.</li> <li>• Decide whether you think a <b>full</b> impact assessment is required to list the risks and the mitigating/strengthening actions.</li> <li>• If you think that a full impact assessment is <b>not</b> required, put your reasoning in the blank spaces under each section.</li> <li>• You can include comments in the boxes or in the space below.</li> <li>• Submit the completed form to the Compliance Manager for approval.</li> </ul>

A) Impacts	High risk	Medium risk		Low risk	? or N/A
1. Reserves	It is likely that reserves may be required	It is possible that reserves may be required		No impact on the reserves / not used	
2. Budget	No budget has been allocated or agreed, but will be required	Budget has not been allocated, but is agreed to be transferred shortly	Budget has been allocated, but more may be required (including in future years)	No budget is required OR budget has been allocated and it is unlikely more will be required	
3. Legislation, Guidelines or Regulations	Not sure of the relevant legislation	Aware of all the legislation but not yet included within project/process	Aware of the legislation, it is included in the process/project, but we are not yet compliant	Aware of all the legislation, it is included in the project/process, and we are compliant	
4. Future legislation changes	Legislation is due to be changed within the next 12 months	Legislation is due to be changed within the next 24 months	Legislation may be changed at some point in the near future	There are no plans for legislation to be changed	
5. Reputation and media	This topic has high media focus at present or in last 12 months	This topic has growing focus in the media in the last 12 months	This topic has little focus in the media in the last 12 months	This topic has very little or no focus in the media in the last 12 months	
6. Resources (people and equipment)	Requires new resource	Likely to complete with current resource, or by sharing resource	Likely to complete with current resource	Able to complete with current resource	
7. Sustainability	Less than 5 people are aware of the process/project, and it is not recorded centrally nor fully	Less than 5 people are aware of the project/process, but it is recorded centrally and fully	More than 5 people are aware of the process/project, but it is not fully recorded and/or centrally	More than 5 people are aware of the process/project and it is clearly recorded centrally	
	No plans are in place for training, and/or no date set for completion of training	Training material not created, but training plan and owner identified and completion dates set	Training material and plan created, owner identified and completion dates set	Training completed and recorded with HR	N/A
8. Communication (Comms) / raising awareness	No comms plan is in place, and no owner or timeline identified	External comms plan is in place (including all relevant stakeholders) but not completed, an owner and completion dates are identified	Internal comms plan is in place (for all relevant levels and departments) but not completed, and owner and completion dates are identified	Both internal and external comms plan is in place and completed, owner and completion dates are identified	
	Not sure if needs to be published in Welsh	Must be published in Welsh; Comms Team aware		Does not need to be published in Welsh	

Please put commentary below about your impacts ratings above:

1 and 2. The new strategy will be supported by a financial strategy and reserves policy. We will also continue with our annual budgeting process and ongoing financial management. It is expected that some of the work undertaken under the new strategy, for example, improvements to MyGOC to support new CPD requirements, may need to be funded by drawing on our reserves.

3 and 4. We anticipate that the GOC's legislation will be updated within the period covered by the new strategy, as part of the Government's regulatory reform agenda.

6. Shifting to a more anticipatory model of regulation that seeks to prevent harm based on a risk-based, data-driven approach that joins up our intelligence and insight and translates this into effective action may well require additional resource to deliver this new model of regulation. This may be funded by savings elsewhere in the business, e.g. a potential office move.

8. We have a stakeholder engagement plan to support the strategy development and consultation. We will translate the consultation document into Welsh.

B) Information governance	High risk	Medium risk		Low risk	? or N/A
1. What data is involved?	Sensitive personal data	Personal data	Private / closed business data	Confidential / open business data	N/A
2. Will the data be anonymised?	No	Sometimes, in shared documents	Yes, immediately, and the original retained	Yes, immediately, and the original deleted	N/A
3. Will someone be identifiable from the data?	Yes	Yes, but their name is already in the public domain(SMT/Council)	Not from this data alone, but possibly when data is merged with other source	No – all anonymised and cannot be merged with other information	N/A
4. Is <b>all</b> of the data collected going to be used?	No, maybe in future	Yes, but this is the first time we collect and use it	Yes, but it hasn't previously been used in full before	Yes, already being used in full	N/A
5. What is the volume of data handled per year?	Large – over 4,000 records	Medium – between 1,000-3,999 records		Less than 1,000 records	N/A
6. Do you have consent from data subjects?	No	Possibly, it is explained on our website (About Us)	Yes, explicitly obtained, not always recorded	Yes, explicitly obtained and recorded/or part of statutory duty/contractual	N/A
7. Do you know how long the data will be held?	No – it is not yet on retention schedule	Yes – it is on retention schedule	Yes – but it is not on the retention schedule	On retention schedule <b>and</b> the relevant employees are aware	N/A
8. Where and in what format would the data be held? (delete as appropriate)	Paper; at home/off site; new IT system or provider; Survey Monkey; personal laptop	Paper; archive room; office storage (locked)	GOC shared drive; personal drive	other IT system (in use); online portal; CRM; Scanned in & held on H: drive team/dept folder	N/A
9. Is it on the information asset register?	No	Not yet, I've submitted to Information Asset Owner (IAO)	Yes, but it has not been reviewed by IAO	Yes, and has been reviewed by IAO <b>and</b> approved by Gov. dept.	N/A
10. Will data be shared or disclosed with third parties?	Yes, but no agreements are in place	Yes, agreement in place	Possibly under Freedom of Information Act	No, all internal use	N/A
11. Will data be handled by anyone outside the EU?	Yes	-	-	No	N/A
12. Will personal or identifiable data be published?	Yes – not yet approved by Compliance	Yes- been agreed with Compliance	No, personal and identifiable data will be redacted	None - no personal or identifiable data will be published	N/A

B) Information governance	High risk	Medium risk		Low risk	? or N/A
13. Individuals handling the data have been appropriately trained	Some people have never trained by GOC in IG	All trained in IG but over 12 months ago		Yes, all trained in IG in the last 12 months	N/A

Please put commentary below about reasons for information governance ratings:

We will follow our standard approach to public consultations in line with our consultation policy and privacy notice.

Not applicable has been selected for this section because the impact assessment should focus on substantive policy issues rather than our standard consultation processes.

Information governance impacts will vary across the projects delivered under the strategy and will be assessed on a project-by-project basis as appropriate.

<b>C) Human rights, equality and inclusion</b>	<b>High risk</b>	<b>Medium risk</b>		<b>Low risk</b>	<b>? or N/A</b>
1. Main audience/policy user	Public			Registrants, employees or members	
2. Participation in a process (right to be treated fairly, right for freedom of expression)	Yes, the policy, process or activity restricts an individual's inclusion, interaction or participation in a process			No, the policy, process or activity does not restrict an individual's inclusion, interaction or participation in a process	
3. The policy, process or activity includes decision-making which gives outcomes for individuals (right to a fair trial, right to be treated fairly)	Yes, the decision is made by one person, who may or may not review all cases	Yes, the decision is made by one person, who reviews all cases	Yes, the decision is made by an panel which is randomly selected; which may or may not review all cases	Yes, the decision is made by a representative panel (specifically selected) OR No, no decisions are required	
	There is limited decision criteria; decisions are made on personal view	There is some set decision criteria; decisions are made on 'case-by-case' consideration	There is clear decision criteria, but no form to record the decision	There is clear decision criteria and a form to record the decision	
	There is no internal review or independent appeal process	There is a way to appeal independently, but there is no internal review process	There is an internal review process, but there is no way to appeal independently	There is a clear process to appeal or submit a grievance to have the outcome internally reviewed and independently reviewed	
	The decision-makers have not received EDI and unconscious bias training, and there are no plans for this in the next 3 months	The decision-makers are due to receive EDI and unconscious bias training in the next 3 months, which is booked	The decision-makers are not involved before receiving EDI and unconscious bias training	The decision-makers have received EDI and unconscious bias training within the last 12 months, which is recorded	
4. Training for all involved	Less than 50% of those involved have received EDI training in the last 12	Over 50% of those involved have received EDI training, and the training are booked in for all others involved in the next 3 months.		Over 80% of those involved have received EDI training in the last 12	

C) Human rights, equality and inclusion	High risk	Medium risk		Low risk	? or N/A
	months; and there is no further training planned			months, which is recorded	
5. Alternative forms – electronic / written available?	No alternative formats available – just one option	Yes, primarily internet/computer-based but paper versions can be used		Alternative formats available and users can discuss and complete with the team	
6. Venue where activity takes place	Building accessibility not considered	Building accessibility sometimes considered		Building accessibility always considered	N/A
	Non-accessible building;	Partially accessible buildings;	Accessible buildings, although not all sites have been surveyed	All accessible buildings and sites have been surveyed	N/A
7. Attendance	Short notice of dates/places to attend	Medium notice (5-14 days) of dates/places to attend		Planned well in advance	N/A
	Change in arrangements is very often	Change in arrangements is quite often		Change in arrangements is rare	N/A
	Only can attend in person	Mostly required to attend in person		Able to attend remotely	N/A
	Unequal attendance / involvement of attendees	Unequal attendance/ involvement of attendees, but this is monitored and managed		Attendance/involvement is equal, and monitored per attendee	N/A
	No religious holidays considered; only Christian holidays considered	Main UK religious holidays considered	Main UK religious holidays considered, and advice sought from affected individuals if there are no alternative dates	Religious holidays considered, and ability to be flexible (on dates, or flexible expectations if no alternative dates)	N/A
8. Associated costs	Potential expenses are not included in our expenses policy	Certain people, evidencing their need, can claim for potential expenses, case by case decisions		Most users can claim for potential expenses, and this is included in our expenses policy; freepost available	
9. Fair for individual's needs	Contact not listed to discuss reasonable adjustments, employees not aware of reasonable adjustment advisors	Most employees know who to contact with queries about reasonable adjustments		Contact listed for reasonable adjustment discussion	

<b>C) Human rights, equality and inclusion</b>	<b>High risk</b>	<b>Medium risk</b>		<b>Low risk</b>	<b>? or N/A</b>
10. Consultation and Inclusion	No consultation; consultation with internal employees only	Consultation with employees and members	Consultation with employees, members, and wider groups	Consultation with policy users, employees, members and wider groups	

Please put commentary below for human rights, equalities and inclusion ratings above:

1 As a regulator focussed on public protection, the main audience/policy user is the public.

<b>Protected characteristic</b>	<b>Type of potential impact: positive, neutral, negative?</b>	<b>Explanations (including examples or evidence/data used) and actions to address negative impact</b>
Age	Positive	<p>The strategic theme of creating fairer and more inclusive eye care services will include work to highlight inequalities facing the public, patients and professionals as well as helping to reduce barriers to people accessing services, support those in vulnerable circumstances to receive high quality care and tackle negative working environments.</p> <p>Our annual registrant survey shows that younger registrants are more likely to experience bullying, harassment or discrimination. Addressing this issue will therefore have a positive effect on younger registrants.</p>
Disability	Positive	<p>The strategic theme of creating fairer and more inclusive eye care services will include work to highlight inequalities facing the public, patients and professionals as well as helping to reduce barriers to people accessing services, support those in vulnerable circumstances to receive high quality care and tackle negative working environments.</p> <p>Our annual registrant survey shows that registrants with a disability are more likely to experience bullying, harassment or discrimination. Addressing this issue will therefore have a positive effect on registrants.</p> <p>Our public perceptions research shows that people with a disability are less satisfied with the quality of the service they receive at an optometrists/opticians. A poor experience of eye care may discourage people with a disability from seeking further care, possibly leading to</p>



Protected characteristic	Type of potential impact: positive, neutral, negative?	Explanations (including examples or evidence/data used) and actions to address negative impact
		worse health outcomes. As such, addressing barriers and ensuring vulnerable people are supported to access care would have a positive impact on people with a disability.
Sex	Positive	<p>The strategic theme of creating fairer and more inclusive eye care services will include work to highlight inequalities facing the public, patients and professionals as well as helping to reduce barriers to people accessing services, support those in vulnerable circumstances to receive high quality care and tackle negative working environments.</p> <p>Our annual registrant survey shows that female registrants are more likely to experience bullying, harassment or discrimination. Addressing this issue will therefore have a positive effect on female registrants.</p>
Gender reassignment (trans and non-binary)	Neutral	
Marriage and civil partnership	Neutral	
Pregnancy/ maternity	Neutral	
Race		<p>The strategic theme of creating fairer and more inclusive eye care services will include work to highlight inequalities facing the public, patients and professionals as well as helping to reduce barriers to people accessing services, support those in vulnerable circumstances to receive high quality care and tackle negative working environments.</p> <p>Our annual registrant survey shows that registrants from ethnic minority backgrounds are more likely to experience bullying, harassment or discrimination. Addressing this issue will therefore have a positive effect on registrants.</p> <p>Our 2023 public perceptions research shows that 7.9 per cent of ethnic minority respondents have never had their sight tested compared to 2.6 per cent of white respondents. 28.6 per cent of ethnic minority respondents cite the cost of the sight test as the factor which makes them feel uncomfortable visiting an optometrists/optician's compared to 14.8 per cent of</p>

Protected characteristic	Type of potential impact: positive, neutral, negative?	Explanations (including examples or evidence/data used) and actions to address negative impact
		white respondents. Reducing barriers to accessing services and continuing to highlight inequalities will have a positive impact on patients from minority ethnic backgrounds.
Religion/belief	Neutral	<p>The strategic theme of creating fairer and more inclusive eye care services will include work to highlight inequalities facing the public, patients and professionals as well as helping to reduce barriers to people accessing services, support those in vulnerable circumstances to receive high quality care and tackle negative working environments.</p> <p>Our annual registrant survey shows that those of Muslim and Sikh belief were more likely to report experience of harassment, bullying or abuse. Addressing this issue will therefore have a positive effect on registrants.</p>
Sexual orientation	Neutral	
Other groups (e.g. carers, people from different socio-economic groups)	Neutral	

## Full Impact Assessment (to be competed if required)

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### Step 1: Scoping the impact assessment (IA)

<b>Name of the policy/function</b>	
<b>Assessor</b>	
<b>Date IA started</b>	
<b>Date IA completed</b>	
<b>Date of next IA review</b>	
<b>Purpose of IA</b>	
<b>Approver</b>	
<b>Date approved</b>	

#### Q1. Screening assessment

- Has a screening assessment been used to identify the potential relevant risks and impacts? Tick all that have been completed:
  - ☐ Impacts
  - ☐ Information governance (privacy)
  - ☐ Human rights, equality and inclusion
  - ☐ None have been completed

#### Q2. About the policy, process or project

- What are the main aims, purpose and outcomes of the policy or project?
- You should be clear about the policy proposal: what do you hope to achieve by it? Who will benefit from it?

<b>Aims</b>
<b>Purpose and outcome</b>
<b>Who will benefit</b>

#### Q3. Activities or areas of risk or impact of the policy or process

- Which aspects/activities of the policy are particularly relevant to impact or risk? At this stage you do not have to list possible impacts, just identify the areas.

<b>Activity/aspect</b>
<ul style="list-style-type: none"><li></li></ul>

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**Q4. Gathering the evidence**

- List below available data and research that will be used to determine impact of the policy, project or process.
- Consider each part of the process or policy and identify where risks or implications might be found for: 1) Impacts; 2) Information governance and privacy implications; and 3) Human rights, equality and inclusion.

Available evidence – used to scope and identify impact

**Q5. Evidence gaps**

- Do you require further information to gauge the probability and/or extent of impact?
- Make sure you consider:
  - 1) Impacts;
  - 2) Information governance and privacy implications; and
  - 3) Human rights, equality and inclusion implications.

**If yes, note them here:**

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**Q6. Involvement and consultation**

Consultation has taken place, who with, when and how
Summary of the feedback from consultation
Link to any written record of the consultation to be published alongside this assessment
How engagement with stakeholders will continue

## Step 2: Assess impact and opportunity to promote best practice

- Using the evidence you have gathered what if any impacts can be identified. Please use the table below to document your findings and the strand(s) affected.
- What can be done to remove or reduce any impact identified?
- Consider each part of the process or policy and identify where risks might be found for equality, human rights and information governance and privacy.
- Ensure any gaps found in Q5 are recorded as actions and considerations below.

Use the table below to document your strengthening actions (already in place or those to further explore or complete).

Activity/ aspect	Potential/actual impact	Strengthening actions to remove or reduce impact. For actions, include timeframes
	Risk that...	

## Step 3: Monitoring and review

**Q7. What monitoring mechanisms do you have in place to assess the actual impact of your policy?**

Please provide a review date to complete an update on this assessment (three months from initial completion).

**Date:**