**Impact Assessment Screening Tool**

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| **Name of policy or process:** | FtPC Hearings and Indicative Sanctions Guidance |
| **Purpose of policy or process:** | To assist all individuals when sitting on a Fitness to Practise Committee to understand their individual and collective responsibilities, leading to the making of fair and just decisions. |
| **Team/Department:** | Fitness to Practise |
| **Date:** | 23 June 2021 |
| **Screen undertaken by:** | David Reeder, Head of Hearings |
| **Approved by:** | Dionne Spence, Director of Casework and Resolutions |
| **Date approved:** | 24 June 2021 |

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| **Instructions:** | * Circle or colour in the current status of the project or policy for each row. * **Do not miss out any rows**. If it is not applicable – put N/A, if you do not know put a question mark in that column. * This is a live tool, you will be able to update it further as you have completed more actions. * Make sure your selections are accurate at the time of completion. * Decide whether you think a full impact assessment is required to list the risks and the mitigating/strengthening actions. * If you think that a full impact assessment is **not** required, put you reasoning in the blank spaces under each section. * You can include comments in the boxes or in the space below. * Submit the completed form to the Compliance Manager for approval. |

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| **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 |  |
| 1. 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) | Budget has been allocated and it is unlikely more will be required |  |
| 1. 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 |  |
| 1. 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 |  |
| 1. Reputation & 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 |  |
| 1. Resources   (people & 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 |  |
| 1. 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 |
| 1. 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. |  |

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| Please put commentary below about your Impacts ratings above: |
| 4+5. Case law is ever changing so parts of the guidance may become void over time. Hearing representatives can bring case law before the committee for consideration. There is also an independent legal adviser allocated to each hearing to guard against this and also ensure unrepresented registrants have knowledge of the most up to date developments in case law.  Low risk so full impact assessment not required. |

| **B) Information Governance** | **High Risk** | **Medium Risk** | | **Low Risk** | **? or N/A** |
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| 1. What data is involved? | Sensitive personal data | Personal data | Private / closed business data | Confidential / open business data |  |
| 1. Will the data be anonymised? | No | Sometimes, in shared documents | Yes, immediately, and the original retained | Yes, immediately, and the original deleted. | N/A |
| 1. 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 |
| 1. Is **all** 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 |
| 1. 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 |
| 1. 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 |
| 1. 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 **and** the relevant employees are aware | N/A |
| 1. 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 |
| 1. 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 **and** approved by Gov. dept. | N/A |
| 1. 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 |
| 1. Will data be handled by anyone outside the EU? | Yes | - | - | No | N/A |
| 1. 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 |
| 1. 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 |

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| Please put commentary below about reasons for Information Governance ratings: |
| The guidance will be published on the GOC website, and does not contain any sensitive or confidential information.  Low risk so full impact assessment not required. |

| **C) Human Rights, Equality and Inclusion** | **High Risk** | **Medium Risk** | **Medium Risk** | **Low Risk** | **? or N/A** |
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| 1. Main audience/policy user | Public |  | | Registrants, employees or members |  |
| 1. 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. |  |
| 1. 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 a panel which is randomly selected; which may or may not review all cases. | Yes, the decision is made by a representative panel (specifically selected). |  |
| 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 & unconscious bias training, and there are no plans for this in the next 3 months. | The decision-makers are due to receive EDI & unconscious bias training in the next 3 months, which is booked. | The decision-makers are not involved before receiving EDI & unconscious bias training. | The decision-makers have received EDI & unconscious bias training within the last 12 months, which is recorded. |  |
| 1. Training for all involved | Less than 50% of those involved have received EDI training in the last 12 months; and there is no further training planned | 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 months, which is recorded. |  |
| 1. 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. |  |
| 1. 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 |
| 1. Attendance | Short notice of dates/places to attend | Medium notice (5-14 days) of dates/places to attend | | Planned well in advance |  |
| Change in arrangements is very often | Change in arrangements is quite often | | Change in arrangements is rare |  |
| Only can attend in person | Mostly required to attend in person | | Able to attend remotely |  |
| Unequal attendance / involvement of attendees | Unequal attendance/ involvement of attendees, but this is monitored and managed. | | Attendance/involvement is equal, and monitored per attendee. |  |
| 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). |  |
| 1. 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. |  |
| 1. 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 |  |
| 1. 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. |  |

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| Please put commentary below for Human Rights, Equalities and Inclusion ratings above: |
| The guidance is for use by the GOC's FtP hearing panels, whose processes are governed by statute, and whose members receive regular training.  A full public consultation will take place. The GOC keeps such guidance under regular review and revises it to reflect suggestions from panellists, legal advisers and GOC staff, as well as caselaw developments.  Low risk so full impact assessment not required. |