

Impact Screening Assessment

Name of policy or process	Removing information about a registrant's gender from the public register
Purpose of policy or process	To consult on removing information about a registrant's gender from the public register
Team/Department	Policy and Registration teams
Date	14.09.23, updated 19.02.24 following public consultation
Screen undertaken by	Steve Brooker, Director of Regulatory Strategy
Approved by	Jem Nash, EDI Manager
Date approved	14.09.23, 19.02.24 (with amendments)
Instructions:	<ul style="list-style-type: none"> • 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 your 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.

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:

The consultation affects all registrants since gender is currently a mandatory field on the searchable GOC public register.

The proposal we consulted on has low impact i) because a consultation on updating gender on the register has taken place and laid the foreground for this work; ii) a website poll confirmed there is little use of this information by the public and there are alternative means for people to obtain this information; iii) we would still collect this information for EDI monitoring purposes.

The proposal carries some reputational risk since gender identity has been a prominent issue in society generally, and our consultation identified mixed views on removing gender from the register.

Planned changes to the Opticians Act should mean little change to the current legislative framework on this issue. Our interpretation of the most recent draft Order is that we could record gender data if we wanted to, but we would not be able to publish it unless we decided that doing so would be in the interest of public protection.

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	
2. Will the data be anonymised?	No	Sometimes, in shared documents	Yes, immediately, and the original retained	Yes, immediately, and the original deleted	
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	
4. 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	
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	
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	
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 and the relevant employees are aware	
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	
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 and approved by Gov. dept.	
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	
11. Will data be handled by anyone outside the EU?	Yes	-	-	No	
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	

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	

Please put commentary below about reasons for information governance ratings:

The information handled will be consultation response data. All respondents will be asked permission for anonymised personal data and responses to questions to be used. No individuals will be identified in their responses, and all EDI information will be fully anonymised.

All data will be processed and stored in line with our [information governance policies](#), and individuals will be provided with a privacy notice.

The proposal would remove information about gender from the public register and should therefore reduce information governance risk. We will keep information internally on the gender of our registrants, so that we can carry out equality and diversity monitoring and so that we can share appropriately anonymised information on the gender of registrants with commissioners and other stakeholders.

C) Human rights, equality and inclusion	High risk	Medium risk		Low risk	? or N/A
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	N/A
	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	N/A
	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	N/A
	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	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	

C) Human rights, equality and inclusion	High risk	Medium risk		Low risk	? or N/A
		next 3 months, which is booked		months, which is recorded	
4. 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	
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	N/A
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	N/A

C) Human rights, equality and inclusion	High risk	Medium risk		Low risk	? or N/A
				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	N/A
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:

The consultation helped us to identify whether the proposal would have a positive/negative/neutral impact.

The consultation considered whether there is a legitimate expectation for patients to be able to choose to be treated by a healthcare professional of a particular sex and, if so, whether the relevant regulator has a role in enabling this. While some patients may wish to obtain this information, alternatives are available, and the public register is not the best place for patients to locate this information.

Protected characteristic	Type of potential impact: positive, neutral, negative?	Explanations (including examples or evidence/data used) and actions to address negative impact
Age	Neutral	Patients receiving domiciliary care may want same-sex care and would feel uncomfortable not knowing who they will see. Young girls may feel more comfortable being treated by a woman. However, alternative sources of information are available, and the public register is not the best place for patients to locate this information. We will continue to keep information internally on all protected characteristics, so that we can

Protected characteristic	Type of potential impact: positive, neutral, negative?	Explanations (including examples or evidence/data used) and actions to address negative impact
		carry out equality and diversity monitoring and so that we can share appropriately anonymised information with commissioners and other stakeholders.
Disability	Neutral	People with certain medical conditions may prefer same-sex care, but alternative sources of information are available, and the public register is not the best place for patients to locate this information. We will continue to keep information internally on all protected characteristics, so that we can carry out equality and diversity monitoring and so that we can share appropriately anonymised information with commissioners and other stakeholders.
Sex	Neutral	The proposal would remove this information about gender from the public register. Consultation responses suggested this could remove a potential source of unconscious bias against women in the industry and prevent assumptions about someone's gender based on their name. Others felt that gender on the register was an important part of their identity. We will continue to keep information internally on all protected characteristics, so that we can carry out equality and diversity monitoring and so that we can share appropriately anonymised information with commissioners and other stakeholders.
Gender reassignment (trans and non-binary)	Positive	The proposal would remove this information about gender from the public register. This would mitigate risks of the GOC inadvertently outing trans registrants. We will continue to keep information internally on all protected characteristics, so that we can carry out equality and diversity monitoring and so that we can share appropriately anonymised information with commissioners and other stakeholders.
Marriage and civil partnership	Neutral	The protected characteristic is not impacted by the proposal.
Pregnancy/ maternity	Neutral	People who are pregnant may have a preference about the gender of the person from whom they received care. Some may feel more comfortable with a professional of the same gender due to the difficult nature of pregnancy, while some pregnant women may

Protected characteristic	Type of potential impact: positive, neutral, negative?	Explanations (including examples or evidence/data used) and actions to address negative impact
		<p>prefer to be seen by male professional if they fear being judged by another woman. However, alternative sources of information are available, and the public register is not the best place for patients to locate this information. We will continue to keep information internally on all protected characteristics, so that we can carry out equality and diversity monitoring and so that we can share appropriately anonymised information with commissioners and other stakeholders.</p>
Race	Neutral	The protected characteristic is not impacted by the proposal.
Religion/belief	Neutral	<p>People with a specific religion or belief may only wish to receive same-sex care or the religion or belief system may only allow certain genders or people to come into physical contact with each other. However, alternative sources of information are available, and the public register is not the best place for patients to locate this information. We will continue to keep information internally on all protected characteristics, so that we can carry out equality and diversity monitoring and so that we can share appropriately anonymised information with commissioners and other stakeholders.</p>
Sexual orientation	Neutral	The protected characteristic is not impacted by the proposal.
Other groups (e.g. carers, people from different socio-economic groups)	Neutral	<p>Vulnerable adults may prefer to receive same-sex care, but alternative sources of information are available, and the public register is not the best place for patients to locate this information. We will continue to keep information internally on all protected characteristics, so that we can carry out equality and diversity monitoring and so that we can share appropriately anonymised information with commissioners and other stakeholders.</p>