



NORTHERN IRELAND ACT 1998

DRAFT EQUALITY SCHEME

PROGRESS REPORT

**SCREENING OF POLICIES
FURTHER CONSULTATION**

SEPTEMBER 2002

23rd September 2002

Dear Consultee

The Office of the Police Ombudsman for Northern Ireland is moving towards the second key stage of consultation as we seek to uphold our duties under Section 75 of the Northern Ireland Act 1998. I ask you for your continued assistance in helping us, not just comply with the letter of the Act, but to actively progress equal opportunity and good relations.

Our Draft Equality Scheme was issued for consultation in January 2002 and was adjusted quite considerably in light of the feedback and constructive comments we received. It was presented to the Equality Commission on 23 May 2002.

We have now been able to focus on the extent and detail of the policies, written and unwritten, which underpin the operations of the Office. Our managers and staff have carried out an initial screening of these policies, to list those which have a direct relevance to an Equal Opportunity remit and should therefore be impact assessed in terms of outcome. It may well be that you will see a relevance or a potential for impact that either we have overlooked or have not considered with an external perspective. I am asking you therefore to help us in this further consultation process before we move to the next stage of assessment.

In this Report I have set out in detail the consultation process which we are offering over the next six weeks to the end of October. As before, we are offering a range of consultation options in order to maximise and facilitate contact with those who share an interest in the working of this Office. Should the consultation period appear inadequate I will extend it. I will be planning to engage directly in some of the consultation forums, but if for any reason you would like to meet with the Police Ombudsman or myself in person, please contact me and we will arrange a time convenient for you.

Thank you again for your assistance

Yours sincerely

Sam Pollock
Chief Executive

1. Northern Ireland Act 1998.

Under Section 75 of the Act we must carry out our functions, powers and duties while considering the need to promote Equal Opportunities between

- a) people of different religions, political opinions, racial groups, ages, marital status, sexuality
- b) men and women generally
- c) people with a disability and people without
- d) people with dependants and people without.

We must also promote good relations between people of different religions, political opinions or racial groups.

2. Draft Equality Scheme

We submitted our Draft Equality Scheme following consultation to the Equality Commission on 23 May 2002. As a listed consultee you should have received a copy of that Draft Scheme and it is obviously relevant to the more detailed material in this Report. If for any reason you do not currently have a copy of our Equality Scheme please access it through the Internet www.policeombudsman.org or directly by request to :

Elaine Vaughan

OPONI

New Cathedral Buildings

11 Church Street

Belfast

BT1 1PG

Email: elaine.vaughan@policeombudsman.org

Telephone: 028 90828662

Textphone: 028 90828618

3. Annual Report – November 2000 to March 2002

Since issuing our Draft Equality Scheme in May 2002 the Police Ombudsman has laid in Parliament through the Secretary of State her first Annual Report for the period November 2000-March 2002. As a listed consultee you will have received a copy of that report but if for any reason you have not, again, you are encouraged to access it through our website or direct from the Office. The content will give you a very clear outline of the work and functioning of the Office over the past 17 months and will assist you in considering relevant impact issues in this Report.

4. Screening

Screening is the process of reviewing each policy against set criteria to identify those policies which are likely to have the most impact on Equality of Opportunity. Screening is not assessment of impact, it is strictly the first identification that a stated policy or procedure of the Office could potentially impact differentially on various groups of people. Should this potential be present, it

should be listed for assessment and prioritised. My advice to managers has been that, if in any doubt, a policy should be screened in rather than screened out.

5. Policies

There is no comprehensive or fixed definition of policy, although the Equality Commission for Northern Ireland Guide proffers the New Oxford Dictionary definition:

“ A course or principle of action adopted or proposed by government, party, business or individual.”

The Equality Commission is also clear in its guidance that whether formal or informal, an organisation may not have embodied all actions within the boundary of a procedure or statement of action. However where actions are implicit in the working of the Office they should be considered, within the parameters of a screening process. I have urged my managers to include a very comprehensive and embracing consideration of policies and actions, rather than those generalised and corporate goals or position statements of the Office.

6. Screening Criteria

All policies listed in this document have been screened under the following criteria:

- a) Is there any evidence or reason to believe that there is a higher or lower participation or uptake by different groups?
- b) Is there evidence that different groups have different needs, experiences, issues and priorities in relation to the particular policy or issue?
- c) Is there an opportunity to promote equality of opportunity or better community relations by altering the policy or working with others in government or in the wider community?
- d) Have consultations which, with relevant groups, organisations or individuals indicated that particular policies create problems which are specific to them?
- e) Managers have screened the listed policies in terms of whether there is or there is not a potential for differential treatment, but not at this stage to measure or estimate the extent of any such impact. The important focus in this consultation is to ask you if you agree or disagree that there is a potential for impact and if so the level of priority you would give to the policy.

7. Northern Ireland Civil Service and Northern Ireland Office overriding policies.

As a Non-Departmental Public Body accountable to Parliament through the Secretary of State and accountable as a public body through a Department, we have necessary obligations and compliance to policies which have not necessarily been constituted within this Office. The conditions of service of our staff and the important equal opportunity responsibilities, as an employer follow in line with the Northern Ireland Civil Service and the NIO pay service regime. We have sought to screen our policies in terms of how we operate and impact on interested

parties. In taking into consideration feedback and comment from you, we will make every attempt to forward all relevant comments to Departmental bodies.

8. Consultation Process

This Screening Report is being sent to all listed consultees on the 23rd September 2002. We encourage you to consider one or more of the following consultation options.

- Respond to us by letter, at:

Police Ombudsman for Northern Ireland
New Cathedral Buildings
11 Church Street
Belfast
BT1 1PG

Fax: 028 90828630

Email: Elaine.Vaughan@policeombudsman.org

- Speak to us directly by telephone, requesting to speak to:

Brendan Fitzpatrick (028 90 828631),
Eunan McMullan (028 90 828670), or
Sam Pollock (028 90 828602).

If we are unavailable please request to speak to
Elaine Vaughan (028 90 828662)
and your call will be returned at a time convenient to you.

- Using the consultation questionnaire ask for a face to face meeting, or if you consider it appropriate to be joined in a consultation group.
- Invite us to come and meet with your organisation or users, so that we can understand better your needs and concerns in relation to the Statutory Duty.
- Send us a pre-prepared document or written statement in relation to Equal Opportunity and Good relations, which you believe would influence or assist us.

The closing date for receipt of comments is 31st October 2002.

Please ensure that consultation questionnaires are completed and returned in the pre-paid envelopes provided by Friday 4th October 2002.

9. **Consultation Timetable**

I hope it would be possible for you to give us an initial response as to whether you wish to be consulted or to make a response by the beginning of October 2002.

We are setting aside considerable time during the month of October to facilitate consultation meetings and interviews.

If necessary we will extend so as to facilitate all interested parties.

I hope then to release a report on the outcome of this screening consultation not later than the 30 November 2002.

APPENDIX

ONE

OFFICE POLICIES

OFFICE POLICIES – SCREENING EXERCISE

POLICY NAME	Providing an independent, impartial police complaints service.
SUMMARY OF POLICY	To provide a complaints system for the public of Northern Ireland covering all matters in relation to conduct of Police Officers.
POLICY AIMS	Striving for excellence in delivering a service which has the confidence of the public and the Police.
WHO DEFINES THE POLICY	Police Ombudsman
WHO IMPLEMENTS THE POLICY	Staff of the Office
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	The public, the Police, Government, Policing Board, Police Associations.
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	Many other Public and Voluntary Bodies

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
Yes	Yes	Yes	No	No	

OFFICE POLICIES – SCREENING EXERCISE

POLICY NAME	Public Awareness
SUMMARY OF POLICY	To ensure maximum awareness of the Complaints Service and that it is fully accessible and responsive to the community.
POLICY AIMS	To be accessible and responsive to the public.
WHO DEFINES THE POLICY	OPONI
WHO IMPLEMENTS THE POLICY	Staff
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	The public.
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	Extensive.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
Yes	Yes	Yes	No	Yes	

OFFICE POLICIES – SCREENING EXERCISE

POLICY NAME	Effective Investigation
SUMMARY OF POLICY	Providing a robust and effective investigation process leading to evidence based recommendations.
POLICY AIMS	Recommendations based on evidence which stand up to challenge and scrutiny.
WHO DEFINES THE POLICY	Investigation Directors.
WHO IMPLEMENTS THE POLICY	Investigation Staff.
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	DPP, PSNI, NIPB, Complainants
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
No	Yes	No	Yes	No	

OFFICE POLICIES – SCREENING EXERCISE

POLICY NAME	Improve Policy and Practice of Policing
SUMMARY OF POLICY	To analyse and research the outcomes of complaints so as to inform and improve the policy and practice of policing.
POLICY AIMS	Accurate analysis and thorough research of outcomes.
WHO DEFINES THE POLICY	Senior Management Team and Research Directorate.
WHO IMPLEMENTS THE POLICY	Research Branch Directorate.
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	PSNI (IIB), NIPB, NIO, the public.
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1 Evidence of higher or lower participation?</i>	<i>2 Evidence that different groups have different needs?</i>	<i>3 Further opportunity to promote equality?</i>	<i>4 Specific issues identified in relation to the policy?</i>	Y/N	Outcomes may differ according to groups of complainants but not as a consequence of this policy.
No	No	No	No	No	

OFFICE POLICIES – SCREENING EXERCISE

POLICY NAME	To achieve efficiency in the use of funds.
SUMMARY OF POLICY	To maintain the corporate capability by the Office to handle 3,500 complaints each year and to achieve efficiency in the use of funds.
POLICY AIMS	Good use of public funds, but maximising Corporate capacity for high level of complaints.
WHO DEFINES THE POLICY	OPONI
WHO IMPLEMENTS THE POLICY	Chief Executive and Senior Management Team.
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	Northern Ireland Office and Treasury.
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
NO	NO	NO	NO	NO	

OFFICE POLICIES – SCREENING EXERCISE

POLICY NAME	Promoting effective relationships with the Policing Board.
SUMMARY OF POLICY	To develop an effective relationship with the Policing Board, working for the good of policing standards in Northern Ireland.
POLICY AIMS	Effective relationships with board members, promotion of improved standards in policing, advising on trends and patterns.
WHO DEFINES THE POLICY	OPONI and NIPB
WHO IMPLEMENTS THE POLICY	OPONI
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	NIPB, PSNI and the public.
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
No	No	No	No	No	

INVESTIGATIONS

INVESTIGATION DIRECTORATE – SCREENING EXERCISE

POLICY NAME	Call out Procedure
SUMMARY OF POLICY	This policy involves responding to emergency call outs from PSNI within allocated time scales
POLICY AIMS	To ensure effective and efficient investigations and the preservation of evidence
WHO DEFINES THE POLICY	Investigations Directorate
WHO IMPLEMENTS THE POLICY	Investigation teams
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	OPONI
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	PSNI

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	This is an internal policy with PSNI to ensure an effective response to complaints
No	No	No	No	No	

POLICY NAME	Guidance for updating Complainants and Police officers
SUMMARY OF POLICY	This policy involves the updating of complainants and officers within allocated time scales
POLICY AIMS	To ensure that complainants and officers are informed of the progress of the investigation
WHO DEFINES THE POLICY	Investigation Directorate
WHO IMPLEMENTS THE POLICY	Investigation teams
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	OPONI
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	PSNI, legal representatives

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
No	Yes	No	No	Yes	

POLICY NAME	Guidance to interviewing of vulnerable persons including juveniles
SUMMARY OF POLICY	This policy involves the interviewing of vulnerable persons/juveniles in line with PACE and Code of conduct in relation to Memorandum interviews.
POLICY AIMS	To ensure best practice and best evidence obtained during the course of interviews
WHO DEFINES THE POLICY	Investigation Directorate
WHO IMPLEMENTS THE POLICY	Investigation teams
APPLIED UNIFORMLY	Y
MAIN STAKEHOLDERS	OPONI
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	PSNI, social services

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	The needs of the juveniles/vulnerable persons are catered for within the codes covering the conducting of such interviews.
No	Yes	No	No	No	

POLICY NAME	Guidance to interviewing Police officers
SUMMARY OF POLICY	This policy related to the conduct of interviews of police officer in line with PACE and Misconduct regulations.
POLICY AIMS	To ensure that interviews are conducted lawfully and fairly
WHO DEFINES THE POLICY	Investigation Directorate
WHO IMPLEMENTS THE POLICY	Investigation Teams
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	PSNI, Police Federation, Legal representatives

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1 Evidence of higher or lower participation?</i>	<i>2 Evidence that different groups have different needs?</i>	<i>3 Further opportunity to promote equality?</i>	<i>4 Specific issues identified in relation to the policy?</i>	Y/N	
No	No	No	No	No	

POLICY NAME	Guidance in relation to the arrest of Police officers
SUMMARY OF POLICY	This policy outlines the criteria which should be considered prior to effecting the arrest of a police officer
POLICY AIMS	To ensure that all arrests of officers are conducted lawfully and fairly
WHO DEFINES THE POLICY	Investigation Directorate
WHO IMPLEMENTS THE POLICY	Investigation Teams
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	IIB PSNI, Police Federation, Legal representatives

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1 Evidence of higher or lower participation?</i>	<i>2 Evidence that different groups have different needs?</i>	<i>3 Further opportunity to promote equality?</i>	<i>4 Specific issues identified in relation to the policy?</i>	Y/N	
No	No	No	No	No	

POLICY NAME	Allocation of investigations/ Regulation 20 reports/ Preliminary review of files by IO
SUMMARY OF POLICY	This policy relates to the allocation of various types of investigations and reports to the investigating officers.
POLICY AIMS	To ensure a fair and effective method for the allocation of cases to individual investigators.
WHO DEFINES THE POLICY	Investigation teams
WHO IMPLEMENTS THE POLICY	Investigation teams
APPLIED UNIFORMLY	
MAIN STAKEHOLDERS	OPONI
OTHER FACTORS	Special requirements of the complainant. Specialist skills required by the investigator
INTERFACE WITH OTHER BODIES	PSNI

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	The special requirements of complainants are considered along with the specialist skills of the investigators prior to allocation being made.
No	Yes	No	No	No	

COMPLAINTS AND STANDARDS

INITIAL COMPLAINT OFFICE – SCREENING EXERCISE

POLICY NAME	Service provision
SUMMARY OF POLICY	To maximise the effectiveness of the service provided by the Initial Complaint Office of the Police Ombudsman
POLICY AIMS	The provision of an effective and efficient service for receiving, recording and processing of complaints against police which is human rights compliant, independent and equally accessible to all members of the public.
WHO DEFINES THE POLICY	Senior PONI management. Senior Complaint Officer
WHO IMPLEMENTS THE POLICY	Complaint Officers and associated line management
APPLIED UNIFORMLY	Dependent on demands of members of the public
MAIN STAKEHOLDERS	PSNI, members of the public, legal representatives, community groups
OTHER FACTORS	The availability of sufficient resources
INTERFACE WITH OTHER BODIES	PSNI, community groups, members of the public, the legal profession

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
Service freely available to all individuals and groups within the community	Service available for ethnic groups, “vulnerable” groups, the disabled etc upon request	PONI keen to meet any group or individual regarding the services it provides.	No	Not at present	

POLICY NAME	Fast tracking of complaints
SUMMARY OF POLICY	The early identification and processing of serious complaints
POLICY AIMS	To ensure serious complaints are referred for PONI investigation as soon as possible
WHO DEFINES THE POLICY	Senior PONI Investigating Officers, Senior Complaint Officer, Complaint Officers
WHO IMPLEMENTS THE POLICY	As above
APPLIED UNIFORMLY	To all complaints identified as being of a serious nature
MAIN STAKEHOLDERS	Complainants, PONI, PSNI
OTHER FACTORS	Dependent of Senior PONI Investigating Officers, Senior Complaint Officer and Complaint Officers identifying complaints suitable for fast tracking
INTERFACE WITH OTHER BODIES	NIO, PSNI, media, legal profession, community groups

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	The decision to fast track is totally dependent on the seriousness of the allegation made
NO	NO	NO	NO	NO	

POLICY NAME	Informal Resolution of Complaints
SUMMARY OF POLICY	Obtaining complainant satisfaction without recourse to PONI investigation
POLICY AIMS	The provision of a simple and flexible procedure for resolving complaints of a less serious nature
WHO DEFINES THE POLICY	Legislation, Regulations, NIO Guidance, PONI practices and procedures
WHO IMPLEMENTS THE POLICY	Informal Resolution Officer, Senior Complaint Officer, Complaint Officers, PONI Investigating Officers, PSNI
APPLIED UNIFORMLY	Dependent on the nature of the complaint against police and wishes of the complainant
MAIN STAKEHOLDERS	PONI, PSNI, complainants
OTHER FACTORS	Resources available to PSNI may impact on the time taken to informally resolve a complaint
INTERFACE WITH OTHER BODIES	PSNI, complainants, legal profession

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
50% of Informal Resolution is by females yet 26% of complaints made are by females	NO	PONI considers the present system of Informal Resolution needs to be replaced by a more flexible mediation system which would enable the Police Ombudsman to deal with less serious complaints in a timely and more effective manner	NO	YES	Informal Resolution is determined by the nature of the allegation made rather than any group association. No research has as yet been conducted into why the % of female complainants who participate in the Informal Resolution process is greater than the % of male complainants. Statistics extracted from PONI research

POLICY NAME	Complainant Interview
SUMMARY OF POLICY	To obtain full and accurate details of a member of the public's allegations of police misconduct
POLICY AIMS	To make every reasonable effort to make the complaints system accessible to the public
WHO DEFINES THE POLICY	Senior PONI management and line management
WHO IMPLEMENTS THE POLICY	Complaint officers and line management within the Initial Complaint Office
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	PONI, complainants, members of the public, legal profession and public representatives
OTHER FACTORS	Dependent on any future policy / procedural changes implemented by PONI
INTERFACE WITH OTHER BODIES	Relates to complaint details taken by PONI Initial Complaint staff

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	Interviews of complainants by Initial Complaint Officers often take place either by way of telephone or at the offices of the Police Ombudsman. If an individual is unable to provide the information needed by way of the above mentioned channels or by way of telephone, favourable consideration will be given to conducting the complainant interview at a location suitable to the complainant
NO	Every effort made to facilitate "vulnerable" groups or individuals	NO	NO	NO	

POLICY NAME	Complaint Closure
SUMMARY OF POLICY	To close complaints in accordance with regulations and guidelines
POLICY AIMS	The fair and correct classification of complaints on the basis of the information available
WHO DEFINES THE POLICY	NIO, via regulations, statute and PONI precedents
WHO IMPLEMENTS THE POLICY	Initial Complaint Office line management
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	Complaint Officers, Line management within PONI – complainants - PSNI
OTHER FACTORS	-----
INTERFACE WITH OTHER BODIES	PSNI, complainants, legal profession, public representatives

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	Applied equally regardless of group association. Closure of complaints by the Initial Complaint Officer is determined by a number of factors including, the nature of the complaint and the co operation of the complainant. A decision to close is compliant with statute, regulations and NIO Guidance
NO	NO	NO	NO	NO	

POLICY NAME	Complaint Processing
SUMMARY OF POLICY	To conduct preliminary enquiries for the purpose of determining whether a complaint received should be referred for PONI investigation , closed by the Initial Complaint Office or referred to PSNI as policy matters
POLICY AIMS	The provision of a system whereby all complaints received are processed in a fair and equitable manner
WHO DEFINES THE POLICY	NIO via statute, regulation, guidance. PONI Senior Management Team. Senior Complaint Officer
WHO IMPLEMENTS THE POLICY	Initial Complaint Office line management
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	Complaint Officers and line management. PSNI. Complainants
OTHER FACTORS	Training of staff in legislative requirements and PONI procedures
INTERFACE WITH OTHER BODIES	PSNI, complainants, NIO, legal profession, public representatives

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	The processing of complaints is subject to continuous review to ensure it is applied fairly and equally to all complainants
NO	NO	NO	NO	NO	

POLICY NAME	Complaint Receipt
SUMMARY OF POLICY	To accurately record complaints about the conduct of police officers made by or on behalf of a member of the public.
POLICY AIMS	The provision of an accessible, impartial, independent, confidential and fair system for receiving / recording complaints against police officers
WHO DEFINES THE POLICY	NIO by way of statute, regulation and guidance. PONI senior management
WHO IMPLEMENTS THE POLICY	Initial Complaint Officers and associated line management
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	PONI line management, PSNI, members of the public
OTHER FACTORS	Training of staff in legislative requirements and PONI procedures
INTERFACE WITH OTHER BODIES	PSNI, members of the public, legal profession, public representatives

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
73% of complainants are male.	52% of complainants aged between 16 – 30. Approx 30% of complainants who have returned PONI monitoring forms perceive themselves as having a disability	86% of community have indicated their awareness of the office of the Police Ombudsman	Not specifically but comments made during consultation process under consideration by PONI	No	Notwithstanding the statistics referred to PONI research shows that persons who use the complaints system broadly reflect the religious and ethnic breakdown of the NI community Sources include the NI Statistics and Research Agency. PONI statistical research reports and PONI monitoring return forms

PROFESSIONAL STANDARDS DEPARTMENT (PSD) – SCREENING EXERCISE

POLICY NAME	Advice on misconduct/discipline matters
SUMMARY OF POLICY	The provision of well informed and reliable advice to investigation, legal and complaints staff on matters relating to police misconduct/discipline issues.
POLICY AIMS	To ensure that correct procedures are followed and that appropriate considerations are applied by staff in misconduct/discipline investigations and that their subsequent conclusions and recommendations are well founded. To provide a consultation facility and so establish this Department as a reference centre for misconduct/discipline issues.
WHO DEFINES THE POLICY	Senior Management, legislation, NIO Guidance
WHO IMPLEMENTS THE POLICY	PSD staff
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	Investigation Directorate, Complaints Office staff, Legal Directorate, Professional Standards staff.
OTHER FACTORS	Staff training, advice accepted
INTERFACE WITH OTHER BODIES	PSNI

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	This policy is applied internally to all relevant staff. Advice is given as requested and disseminated to all if a general issue emerges.
No	No	No	No	No	

POLICY NAME	Reviewing misconduct/discipline files
SUMMARY OF POLICY	Reviewing the composition of files, the Investigator's report, conclusion and recommendation.
POLICY AIMS	To identify and ensure rectification of any deficiencies in reports, to ensure that all relevant documentation is included in files and that the recommendations for disciplinary/misconduct action are appropriate.
WHO DEFINES THE POLICY	Senior Management, legislation, NIO Guidance, PSNI
WHO IMPLEMENTS THE POLICY	PSD staff
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	Investigation Directorate, PSD, PSNI
OTHER FACTORS	Staff training, action taken as a result of recommendations identified
INTERFACE WITH OTHER BODIES	PSNI

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	This policy applies to all staff submitting misconduct/discipline files. The cases being referred to this department will already have been subject to screening at an earlier stage.
No	No	No	No	No	

POLICY NAME	Consultation with PSNI Internal Investigations Branch (IIB)
SUMMARY OF POLICY	Formal and informal consultations with PSNI IIB on a wide range of policy, inter organisational communication and misconduct/discipline issues.
POLICY AIMS	To build an effective working relationship with PSNI, particularly in relation to recommendations for misconduct/discipline action, and to ensure that consistency of approach is achieved on matters of mutual interest
WHO DEFINES THE POLICY	Senior Management, PSNI, legislation, NIO Guidance
WHO IMPLEMENTS THE POLICY	PSD, Senior Management, Investigation Directorate, PSNI
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	OPONI, PSNI
OTHER FACTORS	Dissemination of guidance and Direction, compliance with policy decisions
INTERFACE WITH OTHER BODIES	PSNI, occasionally DPP

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	Consultations carried out as required. Policy decisions relayed to all relevant staff
No	No	No	No	No	

POLICY NAME	Thematic inspections
SUMMARY OF POLICY	Thematic quality assurance inspections of procedures relating to specific aspects of the receipt, investigation and finalisation of complaints by OPONI as directed by Senior Management.
POLICY AIMS	To identify training needs, deficiencies in procedures and best practice thus ultimately helping the organisation to provide a better quality of service.
WHO DEFINES THE POLICY	Senior Management
WHO IMPLEMENTS THE POLICY	PSD staff
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	Investigation Directorate, Initial Complaints Office, Senior Management, PSD
OTHER FACTORS	Staff training, action taken based on reported findings
INTERFACE WITH OTHER BODIES	Possibly PSNI

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	The policy is applied internally to randomly selected case samples. The initial receipt of cases and decisions on how to handle them will already have been the subject of impact assessment screening.
No	No	No	No	No	

POLICY NAME	Dip sampling
SUMMARY OF POLICY	General or type specific quality assurance inspections carried out by random computer generated dip sample.
POLICY AIMS	To identify training needs, deficiencies in procedure and best practice ultimately to improve the service provided by OPONI and where appropriate to notify PSNI of identified trends
WHO DEFINES THE POLICY	Senior Management
WHO IMPLEMENTS THE POLICY	PSD staff
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	Senior Management, Investigation Directorate, Initial Complaints Office, PSD
OTHER FACTORS	Staff training, action taken based on reported findings
INTERFACE WITH OTHER BODIES	Possibly PSNI

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	Policy applied internally to randomly selected samples of cases.
No	No	No	No	No	

CORPORATE SERVICES

	Recruitment and Selection (including Advertising and Promotions and temporary/casual employees)
SUMMARY OF POLICY	To provide good practice in the preparation of advertisements, application forms and accompanying literature, job descriptions, person specifications, shortlisting and interviewing processes, training and post interview selection.
POLICY AIMS	To ensure sufficient numbers of employees of the right calibre are recruited and retained to enable the organisation to provide high quality services.
WHO DEFINES THE POLICY	NIO, HR staff, Codes of Practice etc
WHO IMPLEMENTS THE POLICY	Primarily HR staff organise and advise throughout the competitions but also line managers whose section/directorate vacancies occur and who are trained in R&S.
APPLIED UNIFORMLY	The policy is applied uniformly throughout the organisation and HR staff are present at every stage of the process. (The exception is in the case of internal promotion)
MAIN STAKEHOLDERS	Ultimately the organisation but specifically, applicants for employment, employees, managers, HR staff, referees, occupational health, security branch, DAS (T&EA), Employment Agencies.
FACTORS	Staff training, staff not complying with policy, lack of preparation.
INTERFACE WITH OTHER BODIES	Meetings will have to be held to determine what action the NIO and DFP are considering in relation to this policy.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	
No, however, promotions restricted to existing workforce.	Yes. Some groups have identified that advertisements should be placed in various publications only read by that particular group and should be available in different formats.	Should be reviewed either with NIO or DFP.	Yes. Only as part of the initial consultation on the Draft Equality Scheme. No specific consultation has taken place on this policy except with the Equality Commission who was primarily concerned with political/religious affiliation.	Yes, within specific areas, i.e the promotion and advertising part of the recruitment policy should be IA.	The monitoring returns reveal that both the composition of the workforce and applicant flows reflect the wider religious make-up of society in respect of the two main communities. Our competitions attract applicants from many nationalities and we have taken steps to encourage people with disabilities to apply for posts working closely with the Disablement Advisory Service of the Training and Employment Agency. However, this only relates to external competitions. There is no evidence to suggest that any group is disadvantaged in any way in relation to OPONI's general recruitment and selection procedures. Consultations will take place with groups representing the 9 categories who will advise on their experiences in relation to this issue. However, the promotions and advertising sections of the policy should be impact assessed and OPONI should seek information from both the NIO and DFP to co-ordinate the conduct of the screening and possible impact assessment of this policy.

POLICY	Exit Interviews.
SUMMARY OF POLICY	An organisational process used for gathering information from employees who are leaving the service. It covers issues such as benefits, working conditions, opportunities for career advancement, the quality and quantity of the workload and relationships with co-workers and line managers/supervisors.
POLICY AIMS	To gather strategic information, ascertaining the reasons for potential problems such as turnover and absenteeism and to help and identify training and development needs.
WHO DEFINES THE POLICY	OPONI.
WHO IMPLEMENTS THE POLICY	Primarily HR staff organise and advise throughout the process.
APPLIED UNIFORMLY	The policy is applied uniformly throughout the organisation and HR staff are present at every stage of the process.
MAIN STAKEHOLDERS	Ultimately the organisation but specifically, leavers, managers and HR staff.
FACTORS	Staff training.
INTERFACE WITH OTHER BODIES	N/A.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	No. Recently implemented policy which will be kept under review.
No, applies to all leavers.	No.	No.	No.	No.	

POLICY	Induction Training.
SUMMARY OF POLICY	Comprehensive induction course covering the legal system in NI, forensic exhibit packaging and handling, dealing with firearms, PEACE model, the Police and Criminal Evidence Act, Police Regulations and discipline, human rights, mediation, Office policies and procedures and a corporate overview.
POLICY AIMS	Comprehensive induction course designed to prepare employees for their new role and to assist them in settling into the organisation and their duties as quickly as possible.
WHO DEFINES THE POLICY	Senior Management, Senior Investigation Officers, HR staff, Training advisors.
WHO IMPLEMENTS THE POLICY	Senior Management, Senior Investigation Officers, HR staff, Training advisors.
APPLIED UNIFORMLY	Applies to all new employees.
MAIN STAKEHOLDERS	Senior managers, line managers, HR staff, new and existing employees.
FACTORS	Budgetary constraints.
INTERFACE WITH OTHER BODIES	Combination of in-house/external training providers.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	Applies to all new employees
No. Is applied to all new employees.	No.	No.	No.	No.	

POLICY	Redeployment.
SUMMARY OF POLICY	Sources alternative employment opportunities within the OPONI for staff affected by redundancy/ill-health.
POLICY AIMS	To provide alternative employment opportunities within the OPONI for staff who may face redundancy or ill health in accordance with existing current employment legislation.
WHO DEFINES THE POLICY	SMT, HR staff, existing legislation, Occupational Health, PCSPS, NIO, DFP.
WHO IMPLEMENTS THE POLICY	SMT, HR staff, Occupational Health.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	SMT, employees, HR staff, Occupational Health, PSCPS.
FACTORS	N/A
INTERFACE WITH OTHER BODIES	Occupational Health, PSCPS, NIO, DFP. Meetings will have to be held to determine what action the NIO and DFP are considering in relation to this policy.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	The OPONI does not have a written redeployment policy of its own and would rely upon the existing policies within NIO/DFP. Joint approach or advice needs to be sought from NIO/DFP on what action they are taking in respect of this policy.
No. Applied to all staff.	No.	No.	No.	No (Depends on NIO/DFP action.)	

POLICY	Development and review of employee relations policies including advice and guidance to employees/managers.
SUMMARY OF POLICY	The provision of up-to-date, accurate and timely, ER advice to managers and employees when requested.
POLICY AIMS	To ensure managers and employees receive up-to-date ER advice when requested.
WHO DEFINES THE POLICY	HR Staff. NIO. DFP.
WHO IMPLEMENTS THE POLICY	HR Staff.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions, LRA, Equality Commission.
FACTORS	Lack of training and keeping up-to –date with legislative changes.
INTERFACE WITH OTHER BODIES	NIO, DFP, LRA.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	Up-to-date advice given as requested.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Performance Management System.
SUMMARY OF POLICY	The PMS is a key driver in the effective management process within OPONI and is used to set objectives, assess competences, define training and development needs and to determine future pay awards.
POLICY AIMS	To ensure that Performance Management, i.e setting objectives assessing competences, defining training and development needs and determining future pay awards, is carried out in a fair and objective manner
WHO DEFINES THE POLICY	NIO, Senior Managers, Line Managers, HR staff.
WHO IMPLEMENTS THE POLICY	Senior Managers, Line Managers, HR staff.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	Senior Managers, Line Managers, employees, HR staff, Trade Unions, NIO.
FACTORS	Not being implemented uniformly.
INTERFACE WITH OTHER BODIES	NIO. Meetings will have to be held to determine what action the NIO and DFP are considering in relation to this policy.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	The OPONI does not have a written Performance Management policy of its own and would rely upon the existing policies within NIO/DFP. Joint approach or advice needs to be sought from NIO/DFP on what action they are taking in respect of this policy.
No. Applied to all staff.	No.	No.	No.	Depends on NIO/DFP action.	

POLICY	Internal Communication Policy.
SUMMARY OF POLICY	Sets out the strategic policy statements and supporting systems necessary in building and maintaining healthy communication within OPONI.
POLICY AIMS	To ensure that the Office operates effective and efficient communication systems throughout all of its functions.
WHO DEFINES THE POLICY	Senior Management, HR Staff, JNCC.
WHO IMPLEMENTS THE POLICY	HR Staff.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions.
FACTORS	Lack of commitment from managers in applying the supporting systems uniformly.
INTERFACE WITH OTHER BODIES	External agency to carry out biennial staff survey.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	The policy has yet to be formally adopted by OPONI. A draft policy has been issued for consultation through the JNCC. Once formally adopted, the results of the screening consultation will be incorporated into the policy.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Grievance Procedure.
SUMMARY OF POLICY	The policy outlines the general principles and stages to be taken to provide for the orderly and consistent approach to the settlement of grievances fairly and as near to the point of origin.
POLICY AIMS	To achieve a satisfactory resolution to particular grievances within OPONI.
WHO DEFINES THE POLICY	HR Staff, Senior Management.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions.
FACTORS	Lack of training and non-compliance with procedure.
INTERFACE WITH OTHER BODIES	LRA.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	The policy will continue to be monitored to ensure it is applied fairly and equally to all employees.
No. Applied to all staff.	No. Grievances are taken for all sorts of reasons relating to employment and no identifiable patterns or trends have emerged.	No. The procedure has taken account of the LRA's most recent Code of Practice.	No.	No.	

POLICY	Disciplinary Procedure.
SUMMARY OF POLICY	The policy identifies who has authority to take disciplinary action and identifies the type of offence which would result in disciplinary action being taken, what that action would be and what further action would result if there was no improvement or a recurrence takes place.
POLICY AIMS	To establish a procedure for dealing with those employees who fail to comply with the rules and regulations laid down by OPONI or who fail to reach or maintain acceptable standards.
WHO DEFINES THE POLICY	HR Staff, Senior Management.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions.
FACTORS	Lack of training and non-compliance with procedure.
INTERFACE WITH OTHER BODIES	LRA.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	The policy will continue to be monitored to ensure it is applied fairly and equally to all employees.
No. Applied to all staff.	No.	No. The procedure has taken account of the LRA's most recent Code of Practice.	No.	No.	

POLICY	Training Policy.
SUMMARY OF POLICY	The policy sets out the strategy, plan and resources necessary to support the development of competence and skill within the Office in line with Corporate objectives.
POLICY AIMS	To develop a structured and agreed method of identifying and meeting training needs, to allow for the prioritisation of training in accordance with OPONI's corporate aims and objectives, workload priorities and budget availability.
WHO DEFINES THE POLICY	HR Staff, Senior Management.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions.
FACTORS	Depends on line managers returning employees' PDPs.
INTERFACE WITH OTHER BODIES	External providers, Universities, IFHE and Training Advisory Services.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	The policy has yet to be formally adopted by OPONI. A draft policy has been issued for consultation through the JNCC. Once formally adopted, the results of the screening consultation will be incorporated into the policy. The quality of the information in the policy will depend to a large degree on information supplied on PDP's through line managers.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Occupational Health including health promotion, medical referrals, pre-employment medicals, counselling and medical advice.
SUMMARY OF POLICY	The policy sets out information concerning BMI's capability in the field of Occupational Health, indicates how BMI Health services perceives OPONI's requirements and provides a description of the services to be delivered and implemented.
POLICY AIMS	To provide a comprehensive Occupational Health service to all OPONI staff.
WHO DEFINES THE POLICY	HR Staff. Senior Management. BMI Health Services Ltd.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions. BMI.
FACTORS	Line manager support, contractual requirements.
INTERFACE WITH OTHER BODIES	BMI, GPs, Counselling Services.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	A relatively new service to the Office. Will be regularly reviewed to assess its effectiveness including advice on the Disability Discrimination Act.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Eyesight tests and purchase of spectacles.
SUMMARY OF POLICY	Outlines the procedure to be adopted when requesting an eyesight test because of work associated with the use of Visual Display Unit/Display Screen Equipment.
POLICY AIMS	To provide assistance to officers who require spectacles solely for VDU/DSE use.
WHO DEFINES THE POLICY	HR Staff. Senior Management. BMI Health Services Ltd.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions.
FACTORS	Line manager support, contractual requirements.
INTERFACE WITH OTHER BODIES	Duncan and Todd, NIO, NICS. Meetings will have to be held to determine what action the NIO and DFP are considering in relation to this policy.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (Including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	A relatively new service to the Office. Based on existing NIO/DFP policy. Joint approach or advice needs to be sought from NIO/DFP on what action they are taking in respect of this policy.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Absence Policy.
SUMMARY OF POLICY	Outlines line management responsibilities for effective absence control and details the employee and manager roles as well as the arrangements for reporting sickness, and defines short-term absence and long-term absence.
POLICY AIMS	To achieve a consistent approach in dealing with absenteeism, to ensure that employees are treated fairly and compassionately, to ensure that managers take appropriate action in respect of unacceptable levels of absence, to provide employees with a welfare service and to ensure that absenteeism is monitored.
WHO DEFINES THE POLICY	HR Staff. Senior Management. BMI Health Services Ltd.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions, BMI.
FACTORS	Line manager support, contractual requirements.
INTERFACE WITH OTHER BODIES	BMI, GPs, NIO, DFP. Meetings will have to be held to determine what action the NIO and DFP are considering in relation to this policy.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (Including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	A written absence policy does not yet exist within OPONI. A new policy will be developed in conjunction with BMI. Need to establish existing NIO/DFP policy. Joint approach/ advice needs to be sought from NIO/DFP on what action they are taking in respect of this.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Flexible working.
SUMMARY OF POLICY	Provides guidance on Flexible Working Hours within the Office including definitions of the accounting period, bandwidths, carry over, core time, credit, debit, leave, lunch breaks, record keeping etc.
POLICY AIMS	To provide a more flexible system for attendance for staff.
WHO DEFINES THE POLICY	NICS, NIO, HR Staff, Senior Management.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions.
FACTORS	Abuse of system. Not universally applied.
INTERFACE WITH OTHER BODIES	NIO, NICS. Meetings will have to be held to determine what action the NIO and DFP are considering in relation to this policy.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (Including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	Policy adopted directly from Northern Ireland Civil Service handbook. Based on existing NIO/DFP policy. Joint approach or advice needs to be sought from NIO/DFP on what action they are taking in respect of this policy.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Job Share, Career Break and Family Friendly Policies, including special leave provisions.
SUMMARY OF POLICY	Outlines the procedure to be adopted when requesting job-share, career break or requests for special leave.
POLICY AIMS	To provide assistance to officers in creating a work/life balance.
WHO DEFINES THE POLICY	HR Staff. Senior Management. NICS/NIO.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions.
FACTORS	Line manager support, contractual requirements. Lack of uniformity.
INTERFACE WITH OTHER BODIES	NIO, NICS, Equality Commission. Meetings will have to be held to determine what action the NIO and DFP are considering in relation to this policy.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (Including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	Policies adopted directly from Northern Ireland Civil Service handbook. Based on existing NIO/DFP policy. Joint approach or advice needs to be sought from NIO/DFP on what action they are taking in respect of this policy.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Equal Opportunities Policy.
SUMMARY OF POLICY	Outlines the principles of equality of opportunity and the provision of a workplace in which staff may work without fear of harassment and in which their skills are developed and valued.
POLICY AIMS	To communicate the commitment of the Police Ombudsman, Chief Executive and senior Management team to the promotion of equality of opportunity.
WHO DEFINES THE POLICY	HR Staff. Senior Management.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers, Employees.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions, Applicants, Complainants etc.
FACTORS	Line manager support, lack of awareness, and lack of uniformity.
INTERFACE WITH OTHER BODIES	Equality Commission.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (Including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	This policy has recently been adopted after widespread consultation with the JNCC. It is based on a model as drafted by the Equality Commission and takes account of the nine categories.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Harassment Policy.
SUMMARY OF POLICY	Outlines the statement of policy, definitions of harassment, employee rights, and responsibilities, managers' responsibilities and the stages in dealing with complaints.
POLICY AIMS	To prevent harassment, provide guidance to resolve any problems should it occur and prevent reoccurrence.
WHO DEFINES THE POLICY	HR Staff. Senior Management.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers, Employees.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions, Applicants, Complainants etc.
FACTORS	Line manager support, lack of awareness, and lack of uniformity.
INTERFACE WITH OTHER BODIES	Equality Commission.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (Including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	This policy has recently been adopted after widespread consultation with the JNCC. It is based on a model as drafted by the Equality Commission and takes account of the nine categories.
No. Applied to all staff.	No.	No.	No.	No.	

POLICY	Pay and Grading.
SUMMARY OF POLICY	Outlines how the Business Consultancy Service will carry out a fundamental pay and grading review within the office; including the terms of reference; reporting arrangements; approach to the job; expected outputs from the project; trade union consultation; timing and Resourcing the project and the timescale.
POLICY AIMS	To determine whether systems and procedures are consistent with efficiency and effectiveness; whether there are appropriate numbers of staff to carry out the necessary work effectively; whether the grading of posts is consistent with the appropriate grading standards; whether the organisational structure of the Office is appropriate for the effective delivery of the business needs of the Office and to whether pay and allowances are appropriate for the job.
WHO DEFINES THE POLICY	HR Staff, Senior Management, BCS.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers, Employees, BCS.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, trade unions, BCS.
FACTORS	Job Questionnaires not completed, employees not available for interview, Line manager support.
INTERFACE WITH OTHER BODIES	BCS.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (Including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	The OPONI does not have a written Pay and Grading policy of its own and would rely upon the existing policies within NIO/DFP. Joint approach or advice needs to be sought from NIO/DFP on what action they are taking in respect of this policy.
No. Applied staff.	No.	No.	No.	Depends on NIO/DFP action.	

POLICY	Personnel Records Administration including computerised HR Systems.
SUMMARY OF POLICY	Outlines how personnel records are administered from appointment to leavers.
POLICY AIMS	To ensure the administration of personnel records is carried out accurately and on time.
WHO DEFINES THE POLICY	HR Staff.
WHO IMPLEMENTS THE POLICY	HR Staff, Line Managers, Employees.
APPLIED UNIFORMLY	Yes.
MAIN STAKEHOLDERS	HR Staff, managers, employees, ICS.
FACTORS	Inaccurate information.
INTERFACE WITH OTHER BODIES	ICS.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (Including sources of evidence, required data, relevant groups to be consulted)
<i>Evidence of higher or lower participation?</i>	<i>Evidence that different groups have different needs?</i>	<i>Further opportunity to promote equality?</i>	<i>Specific issues identified in relation to the policy?</i>	Y/N	All records administered in the same way.
No. Applied staff.	No.	No.	No.	No.	

POLICY NAME	Corporate governance and internal control (covers risk management and fraud)
SUMMARY OF POLICY	To promote best practice in relation to the precepts of good corporate governance
POLICY AIMS	To establish a framework of practices and procedures to ensure high standards of corporate governance and internal control across the organisation.
WHO DEFINES THE POLICY	Senior Management Team, Corporate Services Staff, NIO, HMT, Internal and External audit recommendations, guidance, directives, manuals, codes of practice and legislation.
WHO IMPLEMENTS THE POLICY	Senior Management Team, managers and Corporate Services staff.
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	The entire organization but specifically the Police Ombudsman, Chief Executive, senior and other managers and the sponsoring department; the NIO, Parliament and the taxpaying public.
OTHER FACTORS	Impacts on all directorates with managers having particular responsibilities.
INTERFACE WITH OTHER BODIES	NIO, internal and external auditors, HM Treasury

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	OPONI does not have a single written document that encapsulates all aspects of corporate governance and internal control. There are various written procedures that define practice in different areas. Some of these are internal and some are external and these will continue to be developed and refined in light of emerging best practice and legislative requirements. The policy and any developments of it will continue to be monitored to ensure it is applied fairly and equally to all employees.
No. Applied to all staff across the organization.	No.	No.	No.	N	

POLICY NAME	Financial planning, resource allocation and monitoring.
SUMMARY OF POLICY	A process used to identify, acquire and allocate resources to enable OPONI to carry out its statutory functions and agreed business priorities. This also includes processing authorized payments and monitoring expenditure to ensure compliance with the requirements of Government Accounting
POLICY AIMS	To prepare financial plans and business cases identifying and prioritising resource requirements for the Office of the Police Ombudsman. To provide information and reports to the Senior Management Team on performance against financial targets. To provide an accounts payable service to meet customer needs, business needs and statutory obligations. To review, develop and implement finance procedures to meet business needs and Government Accounting, Departmental and Treasury requirements.
WHO DEFINES THE POLICY	Senior Management Team, Corporate Services Staff, NIO, HMT, Internal and External audit recommendations, guidance, directives, manuals, codes of practice and legislation.
WHO IMPLEMENTS THE POLICY	Senior Management Team, managers and Corporate Services staff.
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	The entire organization but specifically the Police Ombudsman, Chief Executive, senior and other managers and the sponsoring department; the NIO, Parliament and the taxpaying public.
OTHER FACTORS	Impacts on all directorates with managers having particular responsibilities.
INTERFACE WITH OTHER BODIES	NIO, internal and external auditors, HM Treasury

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	OPONI's policy and functions relating to financial matters is very much driven by the requirements of Government Accounting, the Management Statement and Conditions of Grant and other directions issued by the NIO and guidance issued by HM Treasury. OPONI has and will continue to supplement such guidance with written internal procedures. This policy is essentially internal to the organization.
No. Applied to all staff across the organization.	No.	No.	No.	N	

POLICY NAME	Administrative support and office services
SUMMARY OF POLICY	To provide a comprehensive range of administration and support services
POLICY AIMS	To provide a safe and comfortable working environment through the efficient and effective management of the New Cathedral Buildings accommodation and ancillary support services. To manage lease arrangements in respect of vehicles and seconded staff accommodation and to provide a travel booking service for OPONI staff. To provide a range of internal office services, such as stationery and office furniture.
WHO DEFINES THE POLICY	OPONI Managers (all levels), legislative requirements.
WHO IMPLEMENTS THE POLICY	Corporate Services staff.
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	All staff in the organization.
OTHER FACTORS	Impacts on all directorates, legal and health and safety requirements.
INTERFACE WITH OTHER BODIES	Third party service providers/suppliers, trade unions, health and safety advisers.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	This policy and function governs the provision of various support and ancillary services to all staff within OPONI. It is essentially an internal policy applied uniformly across the organization.
No. Applied to all staff across the organization.	No.	No.	No.	N	

POLICY NAME	Health and Safety Policy
SUMMARY OF POLICY	To provide and maintain safe places of work, maintain safe systems of work and provide working conditions that will ensure a healthy and safe working environment.
POLICY AIMS	To provide safe systems of work. To provide information, instruction, training and supervision aimed at ensuring the Health and Safety of employees. To Maintain all places of work, within our control, in a safe condition and ensuring safe access and egress to places of work. To provide a safe working environment and adequate health and welfare facilities. To maintain full and effective joint consultation with various staff organisations. To carry out full and adequate risk assessments where necessary.
WHO DEFINES THE POLICY	OPONI, Health and Safety at Work (Northern Ireland) Order 1978 and other relevant statutory provisions.
WHO IMPLEMENTS THE POLICY	All managers, employees and the Health and Safety Advisor
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	All staff in the organization, visitors to the organization.
OTHER FACTORS	Impacts on all directorates, health and safety legal requirements.
INTERFACE WITH OTHER BODIES	Trade Unions, Health & Safety Executive, other external advisers.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	This is one of the earlier written policies which sets out the duties and responsibilities of the Police Ombudsman's managers and staff with regard to health and safety matters. It is essentially an internal policy applied uniformly across the organization.
No. Applied to all staff across the organization.	No.	No.	No.	N	

POLICY NAME	Information and communications technology (ICT)
SUMMARY OF POLICY	A process and function to develop and maintain information systems and information and communications technology to support, enhance and improve the work of the Police Ombudsman's Office.
POLICY AIMS	To provide a strategic framework for the development and maintenance of ICT within the OPONI including; To develop an IT strategy for the Police Ombudsman's Office To ensure IT contracts and services are managed to maximise value for money To facilitate managers in the definition and development of existing and new IT systems To draft and issue appropriate guidance and instructions on IT matters.
WHO DEFINES THE POLICY	Senior Management Team, IT User Group, ICT Manager.
WHO IMPLEMENTS THE POLICY	ICT Manager supported by other managers throughout OPONI.
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	All staff in the organization.
OTHER FACTORS	Budget constraints, feasibility of solutions, security and legal implications.
INTERFACE WITH OTHER BODIES	NIO, PSNI, third party suppliers and contractors.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	This policy and function governs the provision of information and communications technology services to all staff within OPONI. It is essentially an internal policy applied uniformly across the organization.
No. Applied to all staff across the organization	No.	No.	No.	N	

POLICY NAME	Procurement policy and purchasing arrangements.
SUMMARY OF POLICY	To provide a framework for procurement services to the Office of the Police Ombudsman to enable it to achieve value for money when purchasing goods and services or entering into contracts for goods and services.
POLICY AIMS	See above.
WHO DEFINES THE POLICY	OPONI, NIO, procurement guidelines and practice, legislation.
WHO IMPLEMENTS THE POLICY	Corporate Services staff, OPONI managers.
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	All staff in the organization.
OTHER FACTORS	OPONI avails of advice from and contracts established by the Central Procurement Unit of the NIO.
INTERFACE WITH OTHER BODIES	NIO, Suppliers

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	It is OPONI's policy to utilise the services of the Central Procurement Unit (CPU) of the NIO when placing contracts for goods and services. In these circumstances the CPU takes responsibility for ensuring compliance with regulatory and other requirements, including consideration of equality obligations. OPONI will liaise closely with the CPU in assessing the implications for equality of opportunity arising from procurement functions and policy and will take on board the outcome of any equality impact assessment carried out by the NIO in this regard.
No. Applied uniformly.	No.	Yes.	No.	Y	

POLICY NAME	Security Vetting
SUMMARY OF POLICY	To ensure that adequate measures, processes and procedures are in place so that information and other assets are given appropriate levels of protection to enable OPONI to meet its legal and moral obligations and maintain confidence in the exercise of its statutory functions.
POLICY AIMS	To direct and manage information security. To ensure that risks are managed and reduced to acceptable levels by applying appropriate controls. To maintain integrity and confidentiality of information. To maintain appropriate levels of IT security. To ensure staff are appropriately security vetted.
WHO DEFINES THE POLICY	OPONI, Government guidance on security, legislation.
WHO IMPLEMENTS THE POLICY	OPONI
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	OPONI staff, Complainants, PSNI
OTHER FACTORS	Issues of national security.
INTERFACE WITH OTHER BODIES	Complainants, PSNI, NIO.

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	OPONI draws on guidance, procedures and standards applied by the NIO, police forces and other security services organisations that advise government departments and public bodies. OPONI will continue to develop and refine policies, processes and procedures in this area. This as an area that potentially could merit an equality impact assessment. OPONI uses the vetting services of the NIO and is aware that the NIO is committed to reviewing the implications for equality of opportunity between people of different religious beliefs and political opinions in respect of security vetting policy and practice and the National Security Certificate System. OPONI will liaise closely with the NIO in assessing the implications for equality of opportunity arising from functions and policy in this area and will take on board the outcome of any equality impact assessment carried out by the NIO in this regard.
No. Applied uniformly.	No.	Yes.	No.	Y	

RESEARCH BRANCH – SCREENING EXERCISE

POLICY NAME	Complainant monitoring
SUMMARY OF POLICY	To monitor complainants for Section 75 information by issue of monitoring form
POLICY AIMS	To enable summary comparisons of the OPONI complainants database to population figures in order to help determine whether any groups tend not to use the complaints service.
WHO DEFINES THE POLICY	Research Branch staff
WHO IMPLEMENTS THE POLICY	Research Branch staff
APPLIED UNIFORMLY	Yes – all complainants receive a monitoring form
MAIN STAKEHOLDERS	OPONI
OTHER FACTORS	?
INTERFACE WITH OTHER BODIES	NIO

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
Lower response rate from complainants that do not cooperate with investigation	No	No	Human Rights Commission content with content of monitoring form. Question re sexual orientation omitted because of low quality data and advice from Gay/Lesbian groups	No	

POLICY NAME	Complainant satisfaction survey
SUMMARY OF POLICY	To survey complainants regarding their satisfaction with OPONI's services
POLICY AIMS	To enable OPONI to determine levels of satisfaction with services in order to improve overall service to complainants
WHO DEFINES THE POLICY	Research Branch staff
WHO IMPLEMENTS THE POLICY	Research Branch staff
APPLIED UNIFORMLY	Yes – all complainants receive a survey form
MAIN STAKEHOLDERS	OPONI
OTHER FACTORS	?
INTERFACE WITH OTHER BODIES	No

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	

POLICY NAME	Publication of statistics and research findings
SUMMARY OF POLICY	To publish statistics and research findings so as to inform the public of the workings of OPONI
POLICY AIMS	To increase awareness of OPONI and of its work
WHO DEFINES THE POLICY	Research Branch staff
WHO IMPLEMENTS THE POLICY	Research Branch staff
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	OPONI
OTHER FACTORS	Cost of publication
INTERFACE WITH OTHER BODIES	No

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	
No	No	No	No	No	

LEGAL SERVICES DIRECTORATE – SCREENING EXERCISE

POLICY NAME	Preparation and Implementation of Litigation/Casework Strategy
SUMMARY OF POLICY	A Process used to identify and co-ordinate approach of OPONI to court/tribunal appearances
POLICY AIMS	To be strategic in casework approach and to develop legal & professional standards
WHO DEFINES THE POLICY	OPONI
WHO IMPLEMENTS THE POLICY	Legal Services
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	Principally the organization's staff
OTHER FACTORS	Impact on other directorates
INTERFACE WITH OTHER BODIES	Courts, Tribunals, PSNI, Solicitors and Barristers

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	This policy involves primarily the development of an approach to litigation in a variety of areas, whether in courts, disciplinary tribunals or other legal form. It is combined with a monitoring of the outcome of such litigation, reporting on the work of the legal team, and liaison with other Directors on appropriate follow up action. As with other policies confined to Legal Services its effect is essentially internal to the organization.
NO	NO	NO	NO	N	

POLICY NAME	Provision of Legal Advice and Representation
SUMMARY OF POLICY	To provide the Police Ombudsman with professional legal advice and representation where required
POLICY AIMS	To give or obtain value for money legal advice and assistance for the PO in respect of her statutory duties.
WHO DEFINES THE POLICY	OPONI
WHO IMPLEMENTS THE POLICY	Legal Services
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	Principally the organization
OTHER FACTORS	Improvement of Professional Standards
INTERFACE WITH OTHER BODIES	Courts, Tribunals, PSNI, Solicitors and Barristers

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1 Evidence of higher or lower participation?</i>	<i>2 Evidence that different groups have different needs?</i>	<i>3 Further opportunity to promote equality?</i>	<i>4 Specific issues identified in relation to the policy?</i>	Y/N	The principal aim of this policy is to provide professional value for money legal advice and representation to the Police Ombudsman within a limited budget. The policy links with the strategic approach casework and litigation as it feeds back to the Office of the Ombudsman in terms of an improvement in clarity of the standards to be applied.
NO	NO	NO	NO	N	

POLICY NAME	Preparation of policy options on existing and draft legislation relating to Police Complaints System
SUMMARY OF POLICY	To input positively into legal discussions as regards the relevant legislation
POLICY AIMS	To improve the overall ability of the organization in providing an efficient effective and independent Police Complaints System
WHO DEFINES THE POLICY	OPONI
WHO IMPLEMENTS THE POLICY	Legal Services
APPLIED UNIFORMLY	Yes
MAIN STAKEHOLDERS	Organization itself and other parties with interest in legislation
OTHER FACTORS	
INTERFACE WITH OTHER BODIES	NIO, other Governmental and Criminal Justice Bodies

SCREENING CRITERIA (Please refer to screening criteria key as detailed above)				IMPACT ASSESSMENT	COMMENTS (including sources of evidence, required data, relevant groups to be consulted)
<i>1</i> <i>Evidence of higher or lower participation?</i>	<i>2</i> <i>Evidence that different groups have different needs?</i>	<i>3</i> <i>Further opportunity to promote equality?</i>	<i>4</i> <i>Specific issues identified in relation to the policy?</i>	Y/N	The policy is limited to commenting upon existing and draft legislation. The decision on the final form of legislation is determined by Government.
NO	NO	NO	NO	N	