

## 2. Community Safety & Victims

Community Safety	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
	Will the policy / project contribute to community safety or impact on fear of crime?		√		√	Policy will indirectly have a positive impact on community safety as public will be aware of areas at significant flood risk and can take appropriate steps to mitigate the risk.
	Is it likely to have an impact on any specific type of crime?		√			
	Will the Policy / project have an impact on victims of crime?		√			
	Is there any evidence to suggest that the policy would have a particular impact on victims of the conflict?		√			
<b>CONCLUSION</b>						

### When is a Full Community Safety & Victims Impact Assessment Required?

If the answer to any of the above questions is yes, consideration should be given to undertaking a Community Safety & Victims Impact Assessment.

Where a potentially significant impact is identified, a Community Safety Impact Assessment should be undertaken.

3. **Equality** (this must be completed in line with the Equality Commission’s [Guide to the Statutory Duties](#)<sup>2</sup>)

Equality	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
	Is there any indication or evidence of higher or lower participation or uptake by different groups?		√			
	Is there any indication or evidence that different groups have different needs, experiences, issues and priorities in relation to the particular policy?		√			
	Have previous consultations with relevant groups, organisations or individuals indicated that particular policies create problems that are specific to them?		√			
	Is there an opportunity to better promote equality of opportunity or good relations by altering the policy or working with others in government or in the larger community?		√			
<b>CONCLUSION</b>						

**When is a Full Equality Impact Assessment Required?**

If the answer to any of the above is yes, consideration must be given to undertaking a full EQIA. A full EQIA must be undertaken where significant implication for equality of opportunity is defined.

<sup>2</sup> **NOTES:**

The above questions must be considered in relation to the nine equality groups. These are: Age, Marital Status, Men & Women generally, Persons with a disability and persons without, Persons with dependents and persons without, Political opinion, Racial group, Religious belief, Sexual orientation. A more detailed overview of the nine equality groups is available in the [Guide to the Statutory Duties](#) which should be consulted before completion of this screening exercise.

## 4. Health

### 1. Health Determinants

Is the initiative affecting any of the following determinants of health?

LIFESTYLE	Positive Effect	Negative Effect	No Effect
Diet			√
Physical activity			√
Safe sex			√
Substance use; alcohol, tobacco, illegal substances			√
Other			√

**Explanation:** If there is likely to be a positive or negative effect on lifestyle factors, note briefly here what those effects are.

--

PHYSICAL ENVIRONMENT	Positive Effect	Negative Effect	No Effect
Air			√
Built Environment & Land Use	√		
Noise			√
Water	√		
Other			

**Explanation:** If there is likely to be a positive or negative effect on the physical environment, note briefly here what those effects are.

Positive effect by reducing the adverse effects of flooding on the built and natural environment.
---

SOCIO-ECONOMIC ENVIRONMENT	Positive Effect	Negative Effect	No Effect
Crime			√
Education			√
Employment			√
Family Cohesion			√
Housing	√		
Income			√
Recreation	√		
Social Cohesion			√
Transport	√		
Other			

**Explanation:** If there is likely to be a positive or negative effect on socio-economic factors, note briefly here what those effects are.

Positive effect by reducing the adverse effects of flooding (including the cost) in individuals, families, homes and infrastructure.

## 2. Health Care

Is the initiative affecting access to health services?

HEALTH CARE	Positive Effect	Negative Effect	No Effect
Access to Health Services			√

**Explanation:** If there is likely to be a positive or negative effect on access, note briefly here what those effects are.

--

## 3. Population Affected

Considering the health impact identified above, which of the following sections of the population will be affected (Includes Section 75 groups).

LIFESTYLE	Positive Effect	Negative Effect	No Effect
Whole Population			
Sub-Populations:			
Children (0-18 years)	√		
Older People	√		
Marital Status	√		
Persons with dependants	√		
Persons without dependants	√		
Political Opinion	√		
Religious Belief	√		
Chronically ill	√		
Economically Disadvantaged People	√		
Gender (specify male/female)	√		
Homeless	√		
Sexual Orientation	√		
People with Disabilities	√		
Racial and Ethnic Minority Groups	√		
Rural Population	√		
Unemployed	√		
Other			

**Explanation:** If there is likely to be a positive or negative effect on the whole or a section of the population, note briefly here what those effects are.

**Note:** The proposal may have a positive impact on one section of the population and a negative effect on another. Specify where this occurs.

All sections will benefit from a reduction in the adverse effects of flooding.

#### 4. Recommendation

Considering the health impacts, if any, identified above, are these significant enough to warrant a health impact assessment?

Yes	
No	√

This decision must be based on a judgement of the strength of the available evidence and its applicability to local conditions and the strength of feeling of stakeholders and key informants.

If No, what are the reasons for not carrying out a HIA.

**Note:** Possible reasons might include:

- Health impacts not considered significant enough
- Lack of evidence to show health impacts
- Not enough time to influence decisions on the proposal
- Lack of resources to carry out required level of research

Health impacts not considered significant enough and would be extremely difficult to quantify.

**Note:**

**Further information on HIAs can be obtained from the following wet sites:**

- the dedicated Institute of Public Health HIA site ([www.publichealth.ie/hia](http://www.publichealth.ie/hia))
- Investing for health (<http://www.investingforhealthni.gov.uk/impact.asp>)

## Human Rights

Before completing the Human Rights screening exercise, it is necessary for you to have read the OFMDFM guidance on human rights entitled “***Get in on the Act; a practical guide to the Human Rights Act for public authorities in Northern Ireland***”.

Go through each of the rights detailed in the table below. For each one **consider whether the policy/proposal engages the right**, i.e. how the policy/proposal you are working on could involve the right. Explain how the right is engaged.

*Please note that the rights have been abbreviated so you should see the relevant Article in the Guide referred to above for the full title and explanation of the right.*

Human Right	Does the Policy Engage the Right?	
	Yes/No	Explanation
Article 2 Right to life	No	
Article 3 Prohibition of torture, inhuman and degrading treatment	No	
Article 4 Prohibition of slavery and forced labour	No	
Article 5 Right to liberty	No	

Human Right	Does the Policy Engage the Right?	
	Yes/No	Explanation
Article 6 Right to a fair trial	No	
Article 7 No punishment without law	No	
Article 8 Right to respect for private and family life	No	
Article 9 Freedom of thought conscience and religion	No	
Article 10 Freedom of expression	No	
Article 11 Freedom of assembly and association	No	
Article 12 Right to marry and found a family	No	

Human Right	Does the Policy Engage the Right?	
	Yes/No	Explanation
Article 14 Prohibition of discrimination	No	
Protocol 1, Article 1 Right to property	No	
Protocol 1, Article 2 Right to education	No	
Protocol 1, Article 3 Right to free elections	No	

### When Is a Human Rights Impact Assessment Required?

If you have answered **yes** to any of these questions you must complete the Human Rights Impact Assessment.

If you have answered **no** to **all** of the questions, a Human Rights Impact Assessment is not required. However, in this case you should complete part 8 of the human rights assessment proforma only which must be signed off by a Senior Responsible Officer (Grade 7, equivalent or above). Part 8 can be found on page 59 of this document.

## 6. Rural

Rural	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
	1. Does the policy apply in rural areas and communities? IF NO: set out the reasons why If Yes:	√				
a. Does the policy have the potential to have a negative impact on rural areas and communities?	√				√	The potential for negative or positive impacts of this legislation will not be known until assessments have been completed and objectives and measures defined to mitigate against flood risks. Impact assessments will be undertaken at this stage.
b. Does the policy have the potential to have a positive impact on rural areas and communities?	√				√	
<b>CONCLUSION</b>						

## When Is a Rural Impact Assessment Required?

If the answer to question 1 is **yes**, consideration should be given to undertaking a rural impact assessment. The following guidance applies:

If the answer to **a.** is **yes**, a rural impact assessment must be undertaken and the checklist completed.

If the answer to **b.** is **yes**, the policy document should include a reference to how and why the impact will be positive.

## 7. Social Inclusion

	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
<b>Poverty &amp; Social Exclusion</b>	Will the policy involve the spending of public monies, the allocation of non-financial resources or the delivery of a service?	√			√	The legislation will provide a tool by which government can identify areas in which public monies can be targeted to effectively manage flood risk. The spending of money cannot be targeted in a manner designed to affect Poverty & Social Exclusion.
	Will the policy impact on socially excluded or vulnerable groups or involve the delivery of a service within or to socially excluded areas?		√			
	Will the policy address or impact on measures to promote employment or employability among the most disadvantaged?		√			
	Will the policy address or impact on other areas of inequality and disadvantage such as health, education and housing?		√			
	<b>CONCLUSION</b>					

### When is a Social Inclusion Impact Assessment Required?

If the answer to any of the above is **yes**, consideration should be given to undertaking a social inclusion impact assessment.

In undertaking the assessment it is only necessary to address the relevant questions highlighted by the screening tool.

## **SCREENING FOR ECONOMIC IMPACTS**

### **IMPACT ASSESSMENTS COVERED:**

- **Economic Appraisal**
- **Economic Impact Assessment**
- **Regulatory Impact Assessment**
- **State Aid Compliance Assessment**

8. Economic Appraisal<sup>3</sup>

ECONOMIC APPRAISAL	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
	Does the decision/proposal involve the spending or saving of public money?	√				√
Does the decision or proposal involve changes in the use of public resources?			√			
<b>CONCLUSION</b>						

## When Is an Economic Appraisal Required?

If the answer to any of the above questions is **yes**, an economic appraisal may be required. However, the level of appraisal should be proportionate to the costs involved. Departmental economists can provide further advice in this regard.

<sup>3</sup> NOTES:

Economic appraisals should, where possible, be undertaken by parties not directly involved in the decision making process. Departmental economists can provide further advice on economic appraisal.

## 9. Economic Impact Assessment

ECONOMIC APPRAISAL	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on	
		Yes	No	Yes	No		
	Will the policy impact on the provision of goods or services to consumers, or the uptake of such goods and services to consumers?		√				
	Will the policy impact on the region's infrastructure?	√				The impact on the regions infrastructure will not be known until assessment of flood risk has been undertaken. Any objectives or remedial measures associated with mitigating flood risk will be subject to Economic Impact Assessment.	
	Will the policy impact on investment in research and development or promote innovation and creativity?		√				
	Will the policy impact on or encourage enterprise?		√				
	Will the policy impact on the skills level within the economy?		√				
	Will the policy address negative perceptions of Northern Ireland and / or help promote it as a place to live, work and invest?		√				
	<b>CONCLUSION</b>						

### When Is an Economic Impact Assessment required?

If the answer to any of the above is **yes**, consideration should be given to undertaking an economic impact assessment. In undertaking the assessment it is only necessary to address the impacts highlighted by the screening tool.

## 10. Regulation Impact Assessment

Regulatory	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
	<p>Is the policy or amendment to the policy likely to have a direct or indirect impact on businesses?</p> <p>Is the policy or amendment to the policy likely to have a direct or indirect impact on the voluntary / community sector?<sup>4</sup></p>	√				<p>Policy has direct impact on government and on Northern Ireland Water which has responsibility for Water and Sewerage in Northern Ireland and is a Government owned company. The policy may have a positive impact on businesses which are located in flood prone areas as the central purpose of the policy is to reduce the risk of flooding. Even in the circumstances that it is not possible to reduce the likelihood of flooding to some businesses, the flood mapping requirements of the regulations will ensure that businesses are at least aware of the flood risk to their businesses and can take appropriate steps to mitigate the risk.</p> <p>Insurance premiums may be affected, however Government is working with ABI to ensure that flood risk insurance is widely available for properties in flood prone areas.</p>
<b>CONCLUSION</b>						

### When Is a Regulatory Impact Assessment Required?

If the answer to any of the above questions is **yes**, consideration should be given to undertaking a Regulatory Impact Assessment. However, the level of appraisal should be proportionate to the costs involved.

### A Regulatory Impact Assessment is not required for:

- I. Proposals which impose **no costs or no savings**, or negligible costs or savings on business, charities, social economy enterprises or the voluntary sector:
- II. Increases in statutory fees by a predetermined formula such as the rate of inflation; or Road closure orders.

#### <sup>4</sup> NOTES:

This Includes charities and the social economy sector.

## 11. Legal Aid Impact

In considering the development of a policy proposal especially one involving the introduction of new criminal sanctions or civil penalties, the Northern Ireland Courts Service should be consulted at an early stage in the development of the proposal.

It will always be necessary to discuss and agree the consequences of the policy proposal, including the resource implications, of the new proposal for the workload of the courts and legal aid. Central to these considerations will be the completion of a legal aid impact test. This is not a difficult process but it is very important that it is carried out to ensure that there are no subsequent problems with securing policy approval for your proposal. Further guidance on undertaking a legal aid impact test is available later in this workbook. It should be noted that legal aid, subject to means and merits tests, is available for many aspects of the law which are subject to trial in a court in Northern Ireland. Many new proposals brought forward by central government departments will directly impact on legal aid expenditure such as changing the criminal or civil law or improving or affecting in any way the rights of individuals without that impact being readily or immediately apparent.

Key questions to consider include:

Legal Aid	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
	Will the new legislation impact on or have implications for the workload of the courts and legal aid?		√			
	Will the policy proposal involve any entitlement to benefits?		√			
	Will the new legislation or policy proposal impact on people?		√			
<b>CONCLUSION</b>						

## State Aid Compliance

State Aid	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
	Will the policy involve undertakings (businesses or any entity involved in economic activity)? <sup>5</sup>		√			
<b>CONCLUSION</b>						

### When Is an Assessment of State Aid Compliance Required?

If the answer to the above questions is **yes**, a state aid assessment should be undertaken.

---

#### <sup>5</sup> NOTES:

The entity does not have to be profit-making if the activity carried out is one which has commercial competitors. In some instances, public and voluntary sector organisations, such as universities and charities, could be classified as undertakings, as can the State itself. Private individuals are generally not considered to be undertakings unless eg self-employed.

## **SCREENING FOR ENVIRONMENTAL IMPACTS**

### **IMPACT ASSESSMENTS COVERED:**

- Assessment of Environment Impacts
- Strategic Environmental Assessment

## **SCREENING FOR ENVIRONMENTAL IMPACTS**

- Sustainable Development Impact Assessment

## 12. Assessment of Environmental Impacts

	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
<b>Environmental</b>	Will the project / policy impact on air quality ie will it lead to a change in emissions of air pollutants or the numbers of people affected by poor air quality?		√			
	Will the project / policy impact on climate change ie will it lead to changes in emissions of greenhouse gas, consumption of fossil fuels or increase the need to travel within the region		√			
	Will it impact on the landscape or the use of land within the region?				√	The legislation itself will not have a direct impact on the Environment. However the Flood Risk Management Plans required by the regulations are likely to have a significant effect on the environment and will be subject to a strategic Environmental assessment. Likewise, any proposed structural measures arising from these plans shall be subject to Environmental Impact Assessment.
	Will it impact on the use of natural resources within the region?				√	
	Will it impact on bio-diversity within the region?				√	
	Will it involve a proposal that has the potential to impact on levels of noise?		√			
	<b>CONCLUSION</b>					

### When is an Environmental Impact Assessment Required?

If the answer to any of the above is yes, an environmental impact assessment should be undertaken.

## 12. Strategic Environmental Impact Assessment

Strategic Environmental Assessment	Screening Questions	Response to Screening Questions		Full Impact Assessment Required		Justification / Key issues and groups to focus on
		Yes	No	Yes	No	
	1.	Is the plan/programme likely to have significant environmental effects? If yes:	√			
	a. Is the plan/programme of the type listed in Article 3(2) <sup>6</sup> which determine the use of small areas at local level, or which are minor modifications to plans and programmes					
	b. Where the plan/programme is not of the type listed in Article 3(2), does it set the framework for future development consent of projects?					
2.	Is the sole purpose of the plan / programme to serve national defence or civil emergency?		√			
3.	Is it a financial or budget plan / programme?		√			
4.	Is it supported by the EU Structural Funds or the European Agricultural Guidance and Guarantee Fund for the programming periods from 2000 to 2006 or 2007?		√			
<b>CONCLUSION</b>						

### When Is a Strategic Environmental Impact Assessment Required?

If the answer to question 1 and parts a or b is yes, then a full SEA is required. However if the answer to any one of questions 2, 3 or 4 is yes, an SEA is not required.

<sup>6</sup> European Directive 2001/42/EC “on the assessment of the effects of certain plans and programmes on the environment”, more commonly known as the Strategic Environment Assessment or SEA Directive.

## SCREENING FOR ENVIRONMENTAL IMPACTS

### ➤ Assessment of Sustainable Development Impact

Sustainable development takes account of the need to advance the economic and social well-being of the people of Northern Ireland at the same time as protecting and enhancing the natural and built environment. A duty to promote sustainable development is a duty to act in a manner that produces positive outcomes in terms of each of these three aims.

A public authority must be able to demonstrate that it has acted according to the duty and exceptionally where it does not consider this to have been reasonably practical, to demonstrate why.

In undertaking a Sustainable Development Impact Assessment, a number of questions should be given consideration by public authorities. These are covered by the above templates included in this workbook covering social, economic and environmental impacts. They provide a means for review those issues that a public authority must consider in reaching a decision concerning the exercise of its functions.

Satisfactory completion of the templates will provide documentary evidence that a public authority made a decision concerning the exercise of its function in a manner compliant with the statutory duty.

Satisfactory completion demands that a public authority demonstrates a thorough consideration of the issues identified and that all potential positive and negative impacts are identified and assessed<sup>7</sup>. The templates are simply intended to help public authorities consider a range of relevant factors in reaching a decision concerning the exercise of their functions.

---

<sup>7</sup> A list of all decisions subject to sustainable Development Impact Assessment must be published annually together with an explanatory statement. As a minimum this publication should involve making a list of such decision taken during the previous financial year available on its website by 1 May of each year.