Enfield Council – Retrospective Equality Impact Assessment / Analysis

<table>
<thead>
<tr>
<th>Department:</th>
<th>FRCS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service:</td>
<td>Audit and Risk Management</td>
</tr>
<tr>
<td>Author:</td>
<td>Christine Webster</td>
</tr>
<tr>
<td>Date completed:</td>
<td>23/09/2016</td>
</tr>
<tr>
<td>Contact name:</td>
<td>Peter Bullen</td>
</tr>
<tr>
<td>Contact phone number:</td>
<td>0208 379 3011</td>
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About the service

1. Brief description of the service covered by this assessment.

The Audit and Risk Management service comprises functions including internal audit, counter-fraud, insurance and risk management.

2. Please list the main partners, council departments, organisations and service user or target groups for this service.

All services across all Departments within the Council

Insurance claimants

PricewaterhouseCoopers (PwC)

Maintained and VA schools

3. If the service is provided by another organisation or agency please give their names and how you ensure they comply with the Council’s Equal Opportunities and Valuing Diversity policy

PricewaterhouseCoopers (PwC) are the Council’s Internal Audit contractor for the Council’s internal audit programme.
The Internal Audit contract was procured under the Council’s agreed terms and conditions, which includes the contractor having to comply with the Council’s Equal Opportunities and Valuing Diversity Policy.
4. Please list any performance objectives / targets relating to equality that your service has / uses.
   If as a result of this assessment you are going to introduce new targets, please detail these in your action plan at the end of this form.

The service complies with the Council’s Equalities policy as it relates to staff recruitment.

Equalities data collection and monitoring

5. Does your service collect data from service users / applicants for equalities monitoring purposes? **YES / NO**
   If YES please detail below how and when this data is collected and where it is stored e.g. *equalities data is collected at application stage and entered into the SAP database*.

6. Does your service carry out equalities monitoring to review the take up / accessibility of your service? **YES / NO**
   If YES please detail which aspects of your service are monitored and how frequently, then proceed to Q8. If NO please complete Q7.

7. If your service does **NOT** monitor equalities, please detail how you comply with the Council’s Equal Opportunities and Valuing Diversity policy and how you achieve the council’s aim of ‘Fairness for all’ - serving the whole borough fairly and tackle inequality.

   The work of the Audit and Risk Management Service provides assurance that key risks are being managed and that the Council’s aims/priorities, including Fairness for All, are being met.

   A statement regarding equalities impact is included within every Audit Committee report.

   In tackling both internal and external fraud the Service stops misuse of the Council’s funds and other resources, thereby contributing towards Fairness for All.
8. Monitoring information:

Indicate YES, NO or NA (Not Applicable) for each characteristic

<table>
<thead>
<tr>
<th></th>
<th>Disability</th>
<th>Gender</th>
<th>Age</th>
<th>Race</th>
<th>Religion &amp; Belief</th>
<th>Sexual Orientation</th>
<th>Gender reassignment</th>
<th>Pregnancy &amp; Maternity</th>
<th>Marriage &amp; Civil Partnerships</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does monitoring enable you to <strong>profile</strong> service users / applicants by the following characteristics?*</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Does monitoring enable you to profile the <strong>satisfaction</strong> of service users by the following characteristics?*</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Does a comparison against baseline demographic data show that service users are representative of the local population in relation to the following characteristics?</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Does monitoring show that there are any under-represented groups within the following characteristics?</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
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</table>

**IF YES PLEASE LIST THE ACTIONS YOU ARE TAKING/WILL TAKE TO ADDRESS UNDER-REPRESENTATION OF PROTECTED GROUPS IN THE ACTION PLAN AT THE END OF THIS ASSESSMENT.**

* If you do not include all protected characteristics in your equalities monitoring please explain why below:

NA
### Equalities impact

**9. Protected characteristics equalities impact:**
Please indicate **YES, NO** or **NA** (Not Applicable) for each characteristic.

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<th>Marriage &amp; Civil Partnerships</th>
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</thead>
<tbody>
<tr>
<td>Do satisfaction levels identify any concerns arising from vulnerable groups within the following characteristics?</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Does your evidence show an adverse impact on any group/s within the following characteristics?</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Are there known or potential barriers to participation for any group/s within the following characteristics?</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
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</table>

**IF YES PLEASE LIST THE ACTIONS YOU ARE TAKING/WILL TAKE TO MITIGATE ADVERSE IMPACTS / BARRIERS / CONCERNS IN THE ACTION PLAN AT THE END OF THIS ASSESSMENT.**

**10.** Could the service or policy discriminate, directly or indirectly, according to the accompanying definitions?  
**YES / NO**

If **YES**, please set out how it is justifiable under legislation in the box below.

**11.** Could the service or policy have an adverse impact on relations between different groups / community cohesion?  
**YES / NO**

If **YES**, describe below and add any actions to mitigate this impact in your action plan.
12. Have you received any complaints about your service in respect of equality issues? YES/NO
   If YES, please give a brief description and what action has been taken as a result.

13. How does the service contribute to eliminating discrimination, advancing equality of opportunity and fostering good relations between different groups in the community?

   The work of the Audit and Risk Management Service provides assurance that key risks are being managed and that the Council's aims/priorities, including Fairness for All, are being met. Where appropriate, the service seeks to ensure fairness, equality of opportunity and fostering good relations between different groups in the Community. This is usually achieved by investigating fairness of access to services.

14. Please give specific examples of success / best practice your service can evidence in terms of 'narrowing' the gap through improved outcomes / reduced inequality for service users

   Review of eligibility criteria relating to temporary accommodation (Homelessness audit)
   Fraud prevention work has identified risk areas where controls have been strengthened to reduce the risk of loss through fraud, thereby contributing towards Fairness for All.

15. Does your service or policy provide financial support for the protected groups? YES/NO
   If YES, please list below and the value of the financial support.

16. Socio-economic equalities impact:

   Indicate YES, NO or NA (Not Applicable) for each characteristic

<table>
<thead>
<tr>
<th>Communities living in poverty</th>
<th>People not in employment, education or training</th>
<th>People with low academic qualifications</th>
<th>People living in social housing</th>
<th>Lone parents</th>
<th>People in low incomes</th>
<th>People in poor health</th>
<th>Any other socio-economic factor please state</th>
</tr>
</thead>
<tbody>
<tr>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
</tbody>
</table>

Does the service or policy specifically impact on people / communities disadvantaged through the following socio-economic factors?
Does the service / policy contribute to promoting equality of opportunity for the following groups?

| NA | NA | NA | NA | NA | NA | NA | NA | NA |

17. If YES answered above – please describe the impact (including any positive impact on social economic inequality) and any mitigation if applicable

NA

Consultation and engagement

18. Please list any recent consultation activity on your service, any specific equalities groups that were targeted, how the results have been publicised and what action has been taken in response to the results. (Please state the source of data) (If more information is needed to understand the views of disadvantaged groups please add this to your action plan)

NA

Staff training and development

19. Please set out below the staff training undertaken on equalities. If there is a need for additional staff training please detail this in your action plan.

Staff training needs, including equalities training are dealt with via team meetings and Personal Appraisal Reviews.

Review and publicity

20. Please set out in your action plan when you will review this assessment and how it will be publicised (Note: all EQIAs sent to the Performance Management Team are published on the Council’s website)
Enfield Council – Retrospective Equality Impact Assessment / Analysis

Action plan template for existing services

Name of service/policy: Legal Services: Audit and Risk Management Service

Team: Audit and Risk Management

Department: FRCS

Service manager: Christine Webster

<table>
<thead>
<tr>
<th>Identified Issue</th>
<th>Action Required</th>
<th>Lead Officer</th>
<th>Timescale/By When</th>
<th>Costs</th>
<th>Review Date/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Publicity of this assessment and when it will be reviewed</td>
<td>NA</td>
<td>Christine Webster</td>
<td>TBC – Debbie Warren, Senior Performance Analyst, Performance Management Team</td>
<td>NA</td>
<td>TBC – Debbie Warren, Senior Performance Analyst, Performance Management Team</td>
</tr>
</tbody>
</table>

Please insert additional rows if needed

Date to be reviewed: ...........................................

APPROVAL BY THE RELEVANT ASSISTANT DIRECTOR - NAME: Asmat Hussain ..........SIGNATURE

This form should be returned by 27 May 2016 to Debbie Warren, Senior Performance Analyst

Email: debbie.warren@enfield.gov.uk    Tel: 020 8379 1612    Address: Performance Management Team, B Block South, Civic Centre