



## Internal Audit

### FINAL REPORT

#### CORPORATE AUDIT of EQUALITY & DIVERSITY 2018/19

**To:** Dawn French, Chief Executive

**For Information:** Adrian Webb, Director of Finance & Corporate Services  
Roger Harborough, Director of Public Services  
Simon Pugh, Assistant Director Governance & Legal (Monitoring Officer)  
Richard Auty, Assistant Director Corporate Services  
Corporate Management Team

**Report issue date:** 25 October 2018

**Audit Opinion:** LITTLE

**Overall comment on the effectiveness of the service:**

Our overall opinion is that, based on the findings from our audit work, the Council is currently at the 'Developing' authority level when measured against the Equality Framework for Local Government (EFLG).

We have made nine recommendations aimed at improving governance, monitoring, reporting and compliance to equality legislation.

**Recommendations (summary):**

<b>TOTAL</b>	<b>9</b>
<b>LEVEL 4</b>	<b>0</b>
<b>LEVEL 3</b>	<b>8</b>
<b>LEVEL 2</b>	<b>1</b>
<b>LEVEL 1</b>	<b>0</b>

**Issued by:** Meng-Chee Leong, Internal Auditor  
Sheila Bronson, Internal Audit Manager



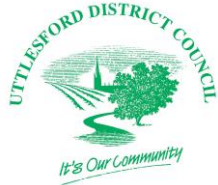
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##### Management Action Plan

Ref	Recommendation	Risk 1-4	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
01	<p>It is recommended that :-</p> <p>a) Resources are identified to coordinate equality for the Council together with active Member representation.</p> <p>b) Officers review the methodologies of engagement with representatives of people with protected characteristics.</p> <p>c) Consideration is given to establishing an equality forum to meet periodically.</p>	3	Agreed	Richard Auty	<p>a) The resource will be identified as part of a planned restructure within Corporate Services</p> <p>Cllr Susan Barker is the Equality and Diversity Member and will be invited to attend relevant meetings</p> <p>b) Work to be undertaken once the relevant person is in post</p> <p>c) Consideration to be given once the relevant person is in post</p>	<p>January 2019</p> <p>November 2019</p> <p>March 2019</p> <p>March 2019</p>

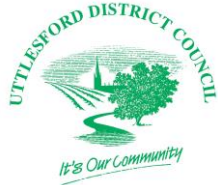


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Ref	Recommendation	Risk 1-4	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
02	It is recommended that staff attend refresher workshops or training to raise their understanding and awareness on the requirement to align operations and service delivery to the Single Equality Duty and the Equality Framework for Local Government (EFLG).	3	Agreed	To be agreed (see 01)	Training will be organised once the relevant person is in post	March 2019
03	It is recommended that the Council reviews the ways in which it collects the equality information and performance data needed to assess compliance with its equality duty and to identify areas in which action is required.	3	Agreed	To be agreed (see 01)	Regular audits of this will be undertaken once the relevant person is in post	March 2019

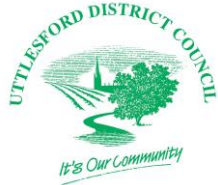


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04	It is recommended that:	3				
	a) a corporate decision be made to ensure a single source of demographics data be identified and made available; and that Officers are informed of its availability for the equality framework measurement.		Agreed	Bruce Tice	Investigations will take place to identify the most robust source of demographic data available to the council taking account of cost.	March 2019
	b) equality objectives in the Single Equality Duty be reviewed, monitored, reported and published.		Agreed	To be agreed (see 01)	Work to be undertaken once the relevant person is in post	February 2019
	c) equality outcomes are identified and a consistent methodology on data collection should be agreed.		Agreed	To be agreed (see 01)	Work to be undertaken once the relevant person is in post	February 2019
	d) equality objectives / outcomes identified are linked to service plans, operations and staff appraisals and monitored for reporting and publication.		Agreed	To be agreed (see 01)	Work to be undertaken once the relevant person is in post	February 2019



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05	It is recommended that the objectives and action plans set out in the Council's Comprehensive Equality Policy be reviewed and aligned to the Equality Framework for Local Government (EFLG).	3	Agreed	To be agreed (see 01)	Work to be undertaken once the relevant person is in post	January 2019
06	It is recommended that:  a) the Council should review its recruitment policy, workforce strategy, training policy, and appraisals policy to ensure Equality outcomes or objectives are met.  b) the Council should improve on the publication of equality information on workforce and employment related issues for example <ul style="list-style-type: none"> <li>• recruitment</li> <li>• promotion</li> <li>• grievances</li> <li>• disciplinary action</li> </ul>	3	Agreed	Richard Auty	Equalities issues will be reviewed as part of policy updates.	March 2019
			Partially Agreed	To be confirmed	The low number of incidences of some of these issues would mean publishing data to the level expressed could identify individuals. A suitable high level report will need to be	March 2019

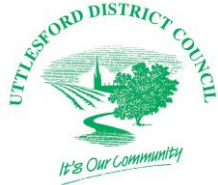


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	<ul style="list-style-type: none"> <li>• dismissals</li> <li>• other reasons for leaving</li> <li>• flexible working patterns</li> <li>• pregnancy</li> <li>• maternity leave etc.</li> </ul> <p>while recognising that the small data population will mean detailed reporting may not be possible in some areas</p> <p>c) It is recommended that the Council should give consideration to promoting a culture of inclusion through a staff support network</p>		Agreed	To be confirmed (see 01)	developed  Consideration will be given	March 2019
07	<p>It is recommended that: -</p> <p>a) The Equality Impact Assessments (EqIA) Tool be reviewed to ensure it is fit for purpose and training is provided on why an EqIA is undertaken and how to use the tool.</p>	3	Agreed	To be confirmed (see 01)	A review will be undertaken once the new person is in post	January 2019



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	b) Procedures are in place for the publication of EqlAs on the Council's website.		Agreed	To be confirmed (see 01)	EqlAs will be published on the website/intranet as they are produced/ Amended. Any EqlAs currently produced for Cabinet or Council are already published	November 2019
08	<p>It is recommended that the Equality &amp; Diversity information on the Council's website be reviewed, updated and improved upon together with a joined up approach that links to the following:</p> <p>a) Where service reporting is integrated with equality.</p> <p>b) The Equality Act 2010 (<a href="http://www.gov.uk/guidance/equality-act-2010-guidance">www.gov.uk/guidance/equality-act-2010-guidance</a>) to raise awareness for</p>	3	Agreed	To be confirmed (see 01)	A review of the website content will be undertaken to ensure it is up-to-date and informative. However this will follow SOCITM and gov.uk best practice and may not result in the specific content mentioned in this recommendation being included.	February 2019



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	<p>members of the public, current &amp; potential contractors and to provide guidance to Officers.</p> <p>c) The Council's service reports on Health Equalities, Community Safety Partnership, working with the Voluntary sector to reduce social isolation.</p>					
09	It is recommended that consultation feedback is reviewed and integrated with equality reporting.	2	Agreed	Corporate Management Team	Senior managers will need to take responsibility for ensuring appropriate monitoring is carried out during consultations	November 2019

Agreed

Chief Auditee

Date 26<sup>th</sup> October 2018



## INTERNAL AUDIT ASSURANCE OPINION CRITERIA & RISK LEVEL DEFINITIONS

### OPINION CRITERIA

Opinion	Definition	Maximum recommendations overall	Maximum number of level 4 PLUS level 3 recommendations	Maximum number of level 2 recommendations
<b>Substantial</b>	Good effective management of risk; no significant recommendations arising.	4	0	2
<b>Satisfactory</b>	Sound satisfactory management of risk; identification of some elements of the control framework that merit attention; Marginal identification of deficiencies in the control framework that result in some risks not being managed effectively and must be addressed.	8	2	6
<b>Limited</b>	Unsatisfactory identification of deficiencies in the control framework compromising the overall management of risks demanding immediate attention.	12	4	8
<b>Little</b>	Major controls have failed and/or major errors have been detected	Over 12	Over 4	Over 8

### RISK LEVEL DEFINITIONS

Risk Level	Action timescale	Description
<b>4</b>	<b>Immediate</b>	Matters that are considered <b>fundamental</b> that require immediate attention and priority action
<b>3</b>	Within <b>6 months</b>	Matters that are considered <b>significant</b> that should be addressed within six months.
<b>2</b>	Within <b>12 months</b>	Matters that are considered <b>important</b> that should be addressed within twelve months.
<b>1</b>	None defined	Matters that merit attention and would improve overall control