



# **EQUALITY IMPACT ASSESSMENT**

**Risk Management Policy (Mar 2009)**

Directorate: Human Resources	Author: John Snow Director of Finance & Estates	Document Created: Feb 2009
Document E & D Impact Assessed: 24/02/09	Page 1 of 7	Next Review:

<b>Step 1</b>	<b>Details of Assessment Team – refer to guidance notes</b>
---------------	---

Please use this form to record the details of your team. Use the guidance notes to help you to pull a relevant team together.

**About the policy, practice, service or function you are assessing**

Name of policy, practice, service or function: **Risk Management Policy**

Name of Assessment Team Leader: **John Snow**

Department responsible: **Finance**

**Other members of assessment team:**

Name	Position	Area of Expertise	Comments
Sara Townsend	E&D Manager	E&D, Student matters	
Angela Killeavy	Director of HR and H&S	E&D, Human Resources	

Directorate: Human Resources	Author: John Snow Director of Finance & Estates	Document Created: Feb 2009
Document E & D Impact Assessed: 24/02/09	Page 2 of 7	Next Review:

**Step 2 – Collecting information and data on consulting on how the policy, procedure, service or function impacts on students, employees, communities and other stakeholders – refer to guidance notes**

Consider all six equality strands: <i>Racial Group, Disability, Gender, Age, Sexual Orientation, Religion or Belief</i>  <b>Examples of evidence could be:</b>	<b>Date data was collected</b>
<b>Tick evidence gathered and state briefly what it tells you.</b>	
<input type="checkbox"/> data showing evidence of higher or lower participation of any particular groups (e.g. who uses the service and who doesn't)	
<input type="checkbox"/> student/ employee feedback from surveys or complaints	
<input type="checkbox"/> any important demographic changes or trends	
<input type="checkbox"/> comparative information or data where no local information is available	
<input type="checkbox"/> census, national or regional statistics <i>Annual risk management questionnaire</i>	<i>July 2008</i>
<input type="checkbox"/> Access Audits, DDA assessments	
<input type="checkbox"/> workforce profile (ethnicity, disability, gender etc)	
<input type="checkbox"/> outcomes of previous monitoring	
<input type="checkbox"/> existing or previous inspections of the policy, procedure, practice, service or function <i>Reviewed annually by Internal and External auditors</i>	<i>Nov 2008</i>
<input type="checkbox"/> research/ knowledge of the effects of the policy, procedure, practice, service or function on any of the College's stakeholders (including external stakeholders)	
<input type="checkbox"/> how part-time or sessional staff may be affected	
<input type="checkbox"/> any consultation and community involvement <i>Reviewed by Directors and governors</i>	<i>Apr 2008</i>
<input type="checkbox"/> existing or previous impact assessment action points	

Directorate: Human Resources	Author: John Snow Director of Finance & Estates	Document Created: Feb 2009
Document E & D Impact Assessed: 24/02/09	Page 3 of 7	Next Review:

**Step 3 – Defining the policy, procedure, service or function and identifying inequalities by analysing the information you have and identifying actions – refer to guidance notes**

**Question 1**

What is the name of the policy, procedure, practice, service or function you are assessing, what are the main aims and objectives; what outcomes do we want; and who is responsible for implementing or delivering the policy, procedure, practice, service or function?

**Response/ Findings:**

The main objective of the Policy is to explain the College's underlying approach to risk management, documents the roles and responsibilities of the Corporation, the Audit Committee, Directors, Heads of School (HoS), Support Staff Managers (SSMs) and other key parties. It also outlines key aspects of the College's system of internal control, and the process used to evaluate its effectiveness on an annual basis.

The Policy is written by the Director of Finance & Estates and implemented through the College management structure. The risk register is subject to quarterly review by Directors and the Corporation.

**Question 2**

Who is affected by the policy, procedure, practice, service or function and is there any evidence that any groups within the following characteristics are adversely affected.

**Response/ Findings:**

The Policy itself does not affect students as a whole or individually. Risks identified by the Policy in the risk register may have individual impacts on groups but these are not a direct result of the Policy. Provided that these risks are properly identified and assigned for action, then there should be no E&D impact.

	<b>YES – state briefly</b>	<b>NO</b>
Age	Non discriminatory	
Disability	Non discriminatory	
Gender	Non discriminatory	
Racial Group	Non discriminatory	
Religious Belief	Non discriminatory	
Sexual orientation	Non discriminatory	

Directorate: Human Resources	Author: John Snow Director of Finance & Estates	Document Created: Feb 2009
Document E & D Impact Assessed: 24/02/09	Page 4 of 7	Next Review:

**Question 3**

Is there any evidence that different groups, organisations or individuals have different needs, experiences, issues and priorities in relation to this policy? *For instance higher or lower uptake or participation.* Consider student and staff surveys, research, community consultations, prior performance monitoring or inspection.

**Response/ Findings:**

Again, the Policy may highlight business risks for certain groups of student or even staff, but this is not as a result of the Policy itself.

**Note: A broad interpretation should be taken of the word ‘evidence.’ It should include anecdotal evidence and evidence derived from qualitative and quantitative analysis where available.**

**Question 4**

Is the service that is underpinned by this policy, procedure or function having a positive or negative effect on particular students, employees, community groups or other stakeholders?

**Response/ Findings:**

It is intended that the increased awareness and use of risk management will have a positive effect on the College as a whole by identifying potential risks early before any detrimental effect can occur. What these effects are would depend on the current status of the risk register and which risks are deemed significant at the time e.g. R20 “Failure to adapt to the new 14-19 agenda including specialist vocational diplomas” would be relevant to younger students.

Directorate: Human Resources	Author: John Snow Director of Finance & Estates	Document Created: Feb 2009
Document E & D Impact Assessed: 24/02/09	Page 5 of 7	Next Review:

**Question 5**

In relation to this policy, procedure, practice, service, or function does any equality or diversity actions already exist? If YES detail below.

**Response/ Findings:**

To ensure that a range of risks are drawn from a variety of areas, the Policy stipulates the sources of potential new risks (Section 12). This should ensure that any risks based on E&D are not missed.

**Question 6 – Look at Questions 2 & 3 Answers**

Is there an opportunity to promote equality of opportunity or good community relations by altering the policy, or by working with others?  
If YES, detail your action on FORM IMP.ACT. If NO state briefly how the team came to this conclusion.

**Response/ Findings:**

Yes – clarified that risks can come from additional committees especially the Student Council to ensure that the student voice is heard. Also, E&D can be added as an “Area of Risk” in the annual College risk management questionnaire return. This would draw out any E&D based risks from Schools and service areas in the next round of questionnaires this summer.

Directorate: Human Resources	Author: John Snow Director of Finance & Estates	Document Created: Feb 2009
Document E & D Impact Assessed: 24/02/09	Page 6 of 7	Next Review:

## EQUALITY IMPACT ASSESSMENTS – Summary

<b>Policy/ Service/ Procedure/ Function Title: Risk Management Policy</b>
---

Report of EIA Findings:

<b>1) Overview of policy/ service</b> The main objective of the Policy is to explain the College's underlying approach to risk management and documents the roles and responsibilities of key parties in College. It also outlines the key aspects of the College's system of internal control and evaluation.			
<b>2) Findings</b> The Policy itself is not student or staff facing and therefore has little impact on E&D in itself. The resulting risks which are raised through the process may have E&D implications but providing these are correctly assigned for action, the impact again should be minimal.			
<b>3) Actions Taken</b>	<b>By When</b>	<b>By Whom</b>	<b>Progress</b>
<ul style="list-style-type: none"> <li>Add other groups as a source of risks</li> </ul>	Mar 2009	Dir F&E	Completed
<ul style="list-style-type: none"> <li>Add E&amp;D as an area of risk</li> </ul>	July 2009	Dir F&E	To be completed
<ul style="list-style-type: none"> <li></li> </ul>			
<b>Data/ Information considered:</b> Risk Management Policy 2009/10 Risk Management Questionnaire 2008/09 Internal and external audit reviews for last two years			
<b>Consultation:</b> 23 <sup>rd</sup> February 2009 Sara Townsend – E&D Manager and Curriculum Manager, Adult Ed. Angela Killeavy – Director of Human Resources and H&S			
<b>Date of Publication of EIA:</b>			

To be attached to each policy before obtaining Governor Approval.

Directorate: Human Resources	Author: John Snow Director of Finance & Estates	Document Created: Feb 2009
Document E & D Impact Assessed: 24/02/09	Page 7 of 7	Next Review: