

# Equality Annual Review

A progress report for the year to 31 March 2010

June 2010



 AUDIT SCOTLAND



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# Foreword

Welcome to Audit Scotland's Equality Annual Review 2009/10.

Audit Scotland is committed to equality of opportunity and to a culture that respects difference. We believe that as an employer and public body, and in our audit role, we can play a leading part in the promotion and application of best practice in the areas of diversity and equality.

Our recently published single equality scheme demonstrates our total commitment to making Audit Scotland a place where diversity and equality are integral to our organisational culture. To help other bodies play their part we consider diversity and equalities issues when scoping our national studies and best value audits, and in the performance information we gather.

What you will read in the following pages is an overview of the developments and progress we have made on equality and diversity during 2009/10 and highlights what we have been doing to put the words and intention of our equality schemes into practice.



*AuditScotland*

**Robert W Black**

Auditor General for Scotland and Accountable Officer

# Introduction

1. Around 200 public bodies in Scotland spend more than £31 billion of public money each year. This includes the Scottish Government, local councils and NHS bodies. The duty of the Auditor General and the Accounts Commission is to help ensure that public money is spent properly, efficiently and effectively.
2. Our role in Audit Scotland is to provide the Auditor General and the Accounts Commission with the services they need to carry out their duties. The Auditor General is independent, reports to the Scottish Parliament, and is held accountable for Audit Scotland's work. The Accounts Commission is independent of local councils and of government and can make reports and recommendations to Scottish Ministers.
3. This report details progress in achieving equality and diversity objectives for Audit Scotland with specific reference to our single equality scheme. Previously we have had in place equality schemes and corresponding action plans for race, gender and disability. We developed our single equality scheme covering all equality strands and this now forms the basis of our work on improving equality and diversity not only in how we run Audit Scotland, but also for working with our clients and stakeholders.
4. The single equality scheme 2009-12, published in December 2009, contains an action plan which sets out the specific steps we plan to take to improve equality within Audit Scotland. This report summarises the main developments and improvements within Audit Scotland based on the four themes within that action plan:
  - *Reviewing our policies and activities*
  - *Building equalities into our work*
  - *Developing our information and reporting*
  - *Improving our confidence and skills*
5. Understanding issues of diversity and equality is important not only for how we run Audit Scotland, but also for working with our clients and stakeholders, all of whom have to consider equality and diversity in the day-to-day delivery of public services. We believe that we can play an important role in promoting equality and diversity more widely, both as an employer, and as a service provider for the Auditor General for Scotland and the Accounts Commission.

# Reviewing our policies and activities

6. We monitor the impact of our own policies and seek to ensure these represent good practice. Our objectives in doing this are to ensure every policy and procedure seeks to promote equality and diversity and that our staff, when using our procedures and policies, embed consideration of equality and diversity into their decision-making.

## Developing our single equality scheme

7. Our new single equality scheme was published in December 2009. The scheme draws together and updates previous statements and policies. It makes our current position on diversity and equality clear, sets out what we intend to do both internally and in the way we carry out our work, and explains how we will monitor our progress.
8. As part of this development all staff in Audit Scotland had the opportunity to complete an anonymous survey on diversity and equality in September 2009. The purpose of the survey was to gather information on staff's perception of diversity and equality and capture any concerns they have and suggestions for areas where improvement can be achieved. We asked questions about leadership and strategy for equality; our internal policies and activities; the work we do; training and skills; and attitudes to equality monitoring information. A total of 84% per cent of staff responded, and the results were analysed and summarised and the common issues and themes identified. These were used to develop our single equality scheme and inform our equality action plan.
9. The main findings from the survey were:
  - Emphasis should be placed on equalities within our new competency framework as part of performance development and improvement.
  - There need to be wider opportunities for staff to be involved in corporate projects and working groups.
  - We need to review access and facilities in our properties to ensure these meet the needs of the people who work for us or who visit our offices.
  - Our recruitment and selection processes should be developed, including how and where we advertise, to attract more candidates from minority groups.
  - We need to ensure leadership and management development programmes include training on equalities.

- Training on equalities should be developed to focus on areas identified as a priority by staff. Specifically, on-line induction training; recruitment training, and Disability Discrimination Act for line managers.
- A programme of awareness raising sessions on aspects of equalities should be developed.
- We need to review our forward study programme with the aim of developing further opportunities for promoting equalities across the public sector.
- We need to develop our equality monitoring information to examine other areas of equalities.

## **Website achieves top-rating again**

10. Audit Scotland's website has achieved 'Accessible Plus' accreditation for a second year running. This prestigious accolade from the Shaw Trust recognises that websites not only comply with web accessibility guidelines, but go further by improving usability for disabled users.
11. A key element of the testing was undertaken by an experienced team of web auditors all of whom are disabled and users of adaptive technology. This ensures that the website performs well for people using a wide range of assistive technologies that automated testing alone could not achieve.
12. The main improvements to the website included: increasing colour contrast between the text and background for people who cannot perceive colour; expanding acronyms and abbreviations when they first occur on the page and ensuring search queries previously input were deleted when a user re-entered the page.

## **Assessing impact**

13. Equality impact assessments provide an opportunity for us to consider the different impact our policies, activities, strategies, processes, programmes and functions may have on different groups, both within Audit Scotland and externally. Audit Scotland is committed to undertaking impact assessments which incorporate all the equality strands. We have put in place mechanisms to ensure that any issues particular to one strand of equalities are properly addressed in any impact assessment process. We have adapted the Scottish Government's impact assessment tool to meet our needs and the unique nature of our role and work in Scotland.
14. The Diversity and Equality Steering Group identified activities to be prioritised for equality impact assessment. At the end of March 2010, Audit Scotland has published three equality impact assessments. These are for the Forward Study Programme for National Studies in 2010/11; the review of the project management framework for performance studies; and our single equality scheme.

15. Equality impact assessments to be published during 2010/11 include: the approach to procurement of audits 2011/12-2015/16; development of BV2 audits in local government and a review of the development of shared risk assessments for local government with inspectorates and regulators.

## **Recruitment and selection**

16. During 2009/10, we have undertaken a review of our recruitment and selection process to achieve greater efficiency savings and ensure we have a fair, objective and consistent recruitment and selection process.
17. Throughout each stage of the review, diversity and equality issues have been considered. Our external analysis found that we have a suite of policies and procedures which compare most favourably with other external organisations. In addition, we found that the analysis of monitoring information we undertake in our annual equalities monitoring report is more comprehensive than that taking place across other similar benchmarking organisations.
18. We have engaged with Capability Scotland to support our recruitment and selection review. It has identified a number of areas in which Audit Scotland can improve in attracting applications from people with disabilities and impairment. These recommendations have been examined and several of the actions put forward by Capability Scotland will be implemented in the revised policy.
19. Our internal analysis involved holding key stakeholder feedback sessions to find out their thoughts on the current recruitment and selection process. These sessions included questions relating to equality and diversity. While no specific concerns were raised, doing more to attract and retain a diverse range of applicants was welcomed.
20. As part of our review, we have carried out an equality impact assessment. This has helped us to ensure that the equality impact of all the proposed changes within our recruitment and selection process are being considered as the policy and process develops. Following this impact assessment, further work is to be undertaken to better understand why, statistically, candidates from certain age, race and religious backgrounds are less successful through our selection process. Options to collect additional equalities information on recruitment are also to be examined to assist with the provision of management information, reporting and subsequent action for future improvement. We will publish this impact assessment during 2010.
21. Overall, our review confirms that the intent of our recruitment policies and equality monitoring process is well founded and aims to promote equality of opportunity and eliminate discrimination. It is intended that changes to our recruitment and selection process will result in attracting more candidates from minority groups.

## **Involvement with Capability Scotland**

22. As part of our former Disability Equality Scheme 2006/09 we agreed that as there was limited opportunity to involve people with disabilities internally, we should develop a meaningful and longer term process of engagement with a wider range of stakeholders. As a result Audit Scotland has worked with Capability Scotland's Training and Consultancy Team to support us in running involvement events with disabled people. We have held a series of involvement events with Capability Scotland during 2009/10 building on its knowledge of our organisation and our relationship with it. These have covered the development of BV2, new software developments, replacement of our desktop hardware and the development of our single equality scheme. The outputs from those events have informed and improved our policies and activities.

## **Sharing with other public bodies**

23. During 2009/10 we built on our relationship with non-departmental public bodies (NDPBs) and attended quarterly NDPB equality meetings. These meetings focus on sharing knowledge and information across key diversity and equality areas. Topics covered during 2009/10 included how organisations manage diversity training, the Equality Bill and different approaches to involvement and consultation events. The Diversity & Equality Steering Group is briefed regularly on key topics and uses this information to inform future planning.

# Building equalities into our work

24. In order to support our core objectives of *holding public bodies to account and helping them to improve* we carry out several different strands of audit activity, including national studies, best value audits and financial audits. We are building consideration of equalities into each of our audit activities with a view to promoting equality and diversity in the bodies we audit.

## Best value in local government

25. During 2009/10, on behalf of the Accounts Commission, we continued to develop best value audit in local government (known as BV2) and published the first two BV2 pathfinder reports.
26. Equalities is a key theme of the best value legislation which, alongside the more general community leadership, partnership working and continuous improvement requirements, places a specific obligation on councils to demonstrate that they are encouraging equal opportunities and meeting all relevant equalities legislation.

## Consultation

27. In developing the approach to the BV2 audit we worked with the Equalities and Human Rights Commission (EHRC) and other interested parties to develop a consistent and coherent approach to auditing equalities, consistent with the more integrated approach to the treatment of equalities issues underpinning current government policy.
28. The Accounts Commission consulted on its proposals for BV2 during April and May 2009 and published its response to the consultation in August 2009. As part of that consultation we asked for feedback on our proposed audit framework for equalities. The consultation received 51 responses, 29 of those were from councils. The Commission also held three meetings in Perth, Motherwell and Edinburgh to discuss our proposals. The meetings were well attended, mostly by council leaders and chief executives. In July and August, it held similar meetings with COSLA, SOLACE, Consumer Focus and the Scottish Government to discuss their responses.
29. A number of comments suggested that equalities, like sustainability, should be integrated across the whole audit of an organisation. The Accounts Commission agreed with this and our BV2 audit framework for equalities has been refined so that it can be integrated across the six elements of the BV2 corporate assessment framework (vision and strategic direction, partnership working and community leadership, community engagement, governance and accountability, use of resources, performance management). In developing our approach to auditing equalities we are continuing to co-ordinate with the EHRC to ensure our respective roles are clear to councils and other interests.

## National studies

30. We continue to build equality and diversity into our national studies of performance across the public sector, for example, looking at how people access public services or how public bodies engage with under-represented groups in society. The following reports illustrate how we do this. All of our reports can be found on our website at [www.audit-scotland.gov.uk](http://www.audit-scotland.gov.uk). If you require an Audit Scotland publication in an alternative format and/or language, please contact us to discuss your needs. Publications are also available in computer format, as PDF and RTF documents, from our website.

## Managing NHS waiting lists – A review of new arrangements (March 2010)

31. This study looked at whether NHS boards are complying with the new guidance for managing patients and recording information. It also considered the impact on patients, particularly whether they are being disadvantaged by the new arrangements. The way the NHS manages waiting lists is important to everyone but we recognised that some groups may be affected more than others by the way the system operates.
32. In order to consider the views of diverse groups, we carried out a telephone survey, focus groups and in-depth interviews with people who had recent experience of waiting for care. The focus groups and interviews were aimed specifically at people who may be potentially disadvantaged by the new arrangements. These include patients and carers who live in remote and rural areas; are older; have learning disabilities; have a visual impairment; are illiterate; are homeless or whose first language is not English.
33. We contacted voluntary organisations such as the Council of Ethnic Minority Voluntary Sector Organisations and the Scottish Council for Learning Difficulties for information about people's experiences and to help recruit participants to the focus groups and interviews. This enabled us to recruit people quicker and also helped us make sure that we were meeting their needs by providing specialist support if necessary. We used a translator to help with some of the focus groups and paired interviews, and a translator was also available to people who wanted to respond to the survey. For the focus groups and interviews, the researchers arranged venues that were at a suitable time, were accessible and were near public transport links. We also reimbursed travel expenses to ensure that no one was disadvantaged due to the costs of participation.

34. In our report on this study, we included a chapter about what the new arrangements mean for patients and the NHS and we made some recommendations specifically relating to potentially disadvantaged groups. We recommended that NHS boards should:

- improve systems for recording patients' additional needs and put appropriate support in place for all who need it
- ensure that communication with patients takes account of any need for additional support and tailor information to meet these needs.

### **Overview of mental health services (May 2009)**

35. This study was a high level overview of mental health services across Scotland. We looked at mental health services provided by the NHS, councils, prisons, the police and the voluntary sector across Scotland. We examined the accessibility and availability of services and how much is spent on them.

36. Mental health problems are a greater problem for people who are socially excluded compared to the rest of society, and their access to services can be more difficult. Therefore, during our fieldwork we consulted with many different organisations within the public and voluntary sectors that provide services for people with mental health problems to pick up particular issues for different groups of people. From our interviews and focus groups we found that there were particular issues accessing mental health services for people from minority ethnic groups, those with sensory impairment, homeless people, prisoners and people with drug or alcohol problems. We also found that there are long waiting times for services for children and adolescents, and older people find it difficult to access services in some areas. We found little evidence of local equality monitoring within mental health services and better information is needed about socially excluded people to help plan and deliver mental health services. We made a number of recommendations based on these findings.

37. As well as carrying out detailed fieldwork with public bodies and voluntary organisations, we held focus groups with people who have used mental health services and their carers. We employed a consultant to carry out this work with knowledge of mental health services and experience in consulting with vulnerable groups. We recruited focus group members through a number of voluntary organisations and service user groups. The six organisations we approached (Voices of Experience, Highland Users Group, Saheliya, Men In Mind, Scottish Transgender Alliance and National Schizophrenia Fellowship carers group) were chosen so we would get as wide a representation as possible across: age, gender, geographical area, deprived and affluent areas, ethnic groups, sexual orientation and mental health conditions. This work helped support some of the findings and recommendations within our main report and we published a separate document summarising the findings from the focus groups.

## **Priorities and risks frameworks**

38. We have continued to develop our priorities and risks frameworks (PRFs) which provide a common framework for the delivery of high quality public sector audit. The PRF is one element of our public sector audit approach which has been designed to help us better understand the business of public bodies and the wider environment in which they operate.
39. Equality is recognised as an important part of our PRFs and is reflected in the documents. Our audit plans are informed by our use of the PRFs and require judgement to be made by auditors on how effectively diversity and equality issues are being tackled in public bodies.

## **Reporting to the Scottish Parliament**

40. Audit Scotland is committed to ensuring that our work is relevant to service users and providers and government and where possible responding to issues of concern to the Scottish Parliament and the public. During 2009/10 we have provided written and oral evidence to the Scottish Parliament's Equal Opportunities Committee and have participated in round table discussions on Equal Pay, Mental Health Act 2003, Budget Strategy and Economic Impact of Migration/trafficking.

## **Working with other scrutiny bodies**

41. On behalf of the Accounts Commission, Audit Scotland is working with other scrutiny bodies to develop a shared risk assessment process for local government. This will ensure that scrutiny resources are targeted at areas of highest risk. The shared risk assessment process consolidates findings from other audit and inspection processes which have been designed to take account of equalities issues. The template for undertaking the shared risk assessment includes a specific assessment on each council's approach to equalities.
42. The assessment of the equalities impact of the shared risk assessment process has identified that there is scope to refine the guidance for the shared risk assessment process to ensure further prompts on equalities issues are included. This will be done in autumn of 2010 when Audit Scotland is scheduled to revise the guidance in the light of experience from the first stage of development.
43. The Scrutiny Bodies Equality Group has also been recently established by the Scottish Government. One of the aims of this group is to improve the sharing of information among scrutiny and improvement bodies to help develop best practice in respect of effective integration, and mainstreaming of equality considerations within the relevant scrutiny and improvement duties and roles. There is scope in the future for this group to play a key role in supporting better co-ordination of scrutiny of equality.

## **Equality bill consultation**

44. We supported the Auditor General and the Accounts Commission in responding in January 2010 to the Scottish Government's consultation on the proposed specific duties in Scotland to support the UK Government's Single Equality Bill. Their submissions concluded that there should be a role for bodies with a scrutiny and improvement function in monitoring and improving the extent to which Scottish public authorities advance and promote equality, foster good relations between different communities and groups, and take steps to prevent unlawful discrimination. However both bodies highlighted that such a role must be considered within the wider context of existing roles and responsibilities.

# Developing our information and reporting

45. We are committed to developing regular reporting and monitoring arrangements to assess progress on actions within our single equality scheme.

## New on-line HR system

46. During January 2010, we launched a new on-line HR system (eHR) for all staff. This system allows staff to manage and update their personal and diversity information via a self-service portal. We will continue to develop this system to collect diversity information as our work on improving diversity monitoring information progresses.

## Staff diversity

47. We currently collect the information about our staff in relation to age, disability, gender, marital status, race or ethnicity and working pattern. Data is examined in relation to our actual practice in connection with recruitment, promotions, appraisal outcomes, access to training, flexible working arrangements and people leaving Audit Scotland. Where a statistical trend or anomaly is identified this is followed up with further analysis to try and better understand the root cause.
48. As part of the annual information request from staff in April 2009 we collected information on disability for the first time. We do not currently monitor transgender status, sexual orientation, religion or faith as part of our monitoring processes but plan to expand our information gathering and reporting arrangements so that we can ensure that discrimination does not occur in any of these areas. We will ensure appropriate actions and measures are incorporated into our revised single equality scheme.

## Equality monitoring information - 2009/10

49. In addition to reporting progress against our planned actions in the single equality scheme we also have a duty to report specific information regarding our employees. It provides a key means of checking whether discrimination is evident in our employment practices and key elements of our equal opportunities policy are being implemented effectively. Previously we have reported this in our annual diversity monitoring report which provided an analysis of our staff profile, recruitment data, promotions, discipline and grievance, training, performance appraisal and development scores and profile of leavers. Under our new single scheme we have reported this information at **Annex 1** of this

report and provide a summary analysis below. The equality monitoring information detailed in this report covers the period from 1 April 2009 to 31 March 2010.

50. Audit Scotland's Diversity Steering Group will discuss and review any trends identified from this equality monitoring information and agree any areas for further investigation.

51. The following table provides a summary of Audit Scotland staff in terms of ethnicity, gender, age, disability and working patterns as at 31 March 2010, based on the information at **Annex 1**.

## Staff Profile

| Equality strand  | March 10 (302 staff)  | March 09 (302 staff)  | Scottish Population Data (08-09) <sup>1</sup>  | Comments  |
|------------------|---|---|--|---|
| <b>Ethnicity</b> | The representation of ethnic minority staff at Audit Scotland (AS) remained the same as the previous year (1.7%).   | The overall representation of ethnic minority staff at AS was 1.7%.   | Scotland's working age population (08/09) shows 96.6% are white and 3.3% are from an ethnic minority. People in employment in Scotland are 97.5% white and 2.7% are from an ethnic minority. | Year on year, AS has a similar ethnicity profile. AS has on average 1% less ethnic minority staff, compared to Office of National Statistics (ONS) data – people in employment. It is hoped that changes we are making to our recruitment practices will help increase the representation of ethnic minorities within AS. |
| <b>Gender</b>    | The representation of males and females at AS remained the same as the previous year, except that there was an increase of females at senior management level to 52%. | Women made up 51% of staff at AS. At senior management level, the percentage of female staff was 51%. There are more males than females in grades D, E and G. There are more female than male staff in grade C and all staff at grade B are female. | Scotland's working age population (08/09) shows 48.6% are female and 51.4% are male.   | The last four years has seen a very gradual increase in female and decrease in male staff, with the exception of 2010, which remained the same as in 2009. Audit Scotland's overall gender profile compares favourably to Scotland's working age population of 48.6% females and 51.4% males.                             |

<sup>1</sup> Annual Population Survey July 08 to June 09, ONS

| <b>Equality strand</b>  | <b>March 10 (302 staff)</b>  | <b>March 09 (302 staff)</b>   | <b>Scottish Population Data (08-09)<sup>1</sup></b>   | <b>Comments</b>   |
|-------------------------|--|---|---|---|
| <b>Age</b>              | Similar to 2009 data, the largest proportion of staff were in the 35-49 age range, which represented 43% of all staff. The smallest proportion of staff were within the 16-24 bracket, representing 4% of all staff. | The majority of AS staff were in the 35-49 age range, which represented 42.4% of all staff. The smallest proportion of staff were within the age bracket 16-24. | Scotland's working age population (08/09) shows that 19% are 16-24, 19.5% are 25-34, 35.7% are 35-49 and 25.8% are over 50 years old. | The age profile of AS staff has not changed significantly between 09 and 10. Compared to Scotland's working age population, AS have significantly less staff in the 16-24 age bracket, and slightly more staff in the remaining age brackets.                                   |
| <b>Disability</b>       | The percentage of staff with a declared disability was 4.6%.   | No data was retained on current staff disabilities  | Scotland's working age population (08/09) shows 19.4% have a disability.  | AS started recording disability information during 2009 on our self-service HR system. AS's overall disability profile is 14.8% less in comparison to Scotland's working age population.  |
| <b>Flexible Working</b> | The number of formal home working arrangements remains the same as 2009. 16.2% of all staff have alternative working arrangements.   | Four employees have a formal home working arrangement in place. 14% of all staff have alternative working arrangements e.g. reduced or compressed hours.        | No ONS data is recorded regarding flexible working arrangements for Scotland's working age population.                                | The way in which flexible working is recorded has changed since previous reports. This has resulted in an increase of flexible working arrangements compared to previous data. We will continue to monitor flexible working data using our new HR system to monitor any trends. |

## Recruitment

52. Audit Scotland's recruitment and selection process is designed to be fair, robust and follow best practice principles. Individuals are assessed on the competencies required to carry out the role effectively. During 2009/10, we have undertaken a review of our recruitment and selection process, and further information on this review is included at paragraphs 16-21 of this report.
53. The following table outlines our position in terms of ethnicity, gender, age, disability and religion in relation to internally and externally advertised vacancies during the period April 2009 to March 2010<sup>2</sup>. These results should be interpreted carefully given the number of applications where no information has been provided.

<sup>2</sup> The figures include three campaigns from the 2008-2009 year: Application Developer, Strategy Manager and Business Manager. An internal Senior Auditor campaign has not been recorded as no diversity forms were completed (5 candidates).

| Equality strand  | 2009/10  | 2008/09  | Comments   |
|------------------|--|--|--|
| <b>Ethnicity</b> | Of the applications received (465), 14.4% were from an ethnic minority. 14% were taken forward at shortlisting stage. No ethnic minority candidates were appointed.  | Of all our applications received (789), 11% were from an ethnic minority. 7.3% of ethnic minority candidates were taken forward at shortlisting stage, and 8.3% were appointed. (some applicants provided no information)                    | <p>More applications were received in 09/10 (14.4%) from ethnic minorities, compared to 08/09 (11%). As a percentage of applications received, 34.3% of ethnic minorities were shortlisted during 09/10, compared to 20.7% in 08/09.</p> <p>As a percentage of applications received, 34.9% of white applicants were shortlisted during 09/10. This is comparable to the percentage of ethnic minorities shortlisted during 09/10. However, no ethnic minorities were appointed during 09/10, compared to 8.3% during 08/09.</p> <p>Furthermore, 5.5% of white applicants were appointed during 09/10.</p> |
| <b>Gender</b>    | This year we received more applications from males (65.2%) versus females (29.9%). 42.4% of applications received from females were shortlisted and 5% were appointed. This compares to 32% and 7.9% of applications from males. | Of the applications received, 49.3% were from females, and 47.3% were from males. 34% of applications received from females were shortlisted and 6.9% were appointed. This compares to 28.7% and 5.4% of applications from males.            | More male applicants and less female applicants applied during 2009/10 compared to the previous year. From the percentage of those that applied, slightly more females were shortlisted this year to last year, and slightly less were appointed. A similar percentage of male applicants were shortlisted during 08/09 and 09/10, however, a higher percentage of males this year were appointed to last year.  |
| <b>Age</b>       | The majority of applications received were from candidates aged 25-34. Fewest were 50+ years old. As a percentage of applications received, more candidates aged under 25 were appointed than those aged 50+.                    | The majority of applications received were from candidates aged 25-34. Fewest were 55+ years old. As a percentage of applications received, 42.9% of <25 were shortlisted and 10.9% appointed, compared to 13.7% and 4.1% of those aged 55+. | The distribution of applicants to age brackets was similar across both 2008/09 and 2009/10. During 2009 the age categories used for recording recruitment diversity information was changed to fall in line with the ONS age categories, as a benchmark. Although the age categories have changed, across both recording periods, applicants aged under 25 have been more successful through the process than those aged 50 years plus.  |

| Equality strand   | 2009/10   | 2008/09   | Comments   |
|-------------------|---|---|--|
| <b>Disability</b> | 5 applications were received from people who declared themselves as having a disability (1.1% of all applications). 40% of applications from those with a disability were shortlisted, compared to 35.5% without a disability. No appointments were made to candidates with a disability.   | 7 applications were received from people who declared themselves as having a disability (0.9% of all applications). 14.3% of applications from those with a disability were shortlisted, compared to 32.2% without a disability. No appointments were made to candidates with a disability. | <p>More applications were received in 09/10 (1.1%) from people who declared themselves as having a disability, compared to 08/09 (0.9%). During 09, we utilised a publication called Able magazine, which is a UK wide disability magazine. We used this publication to promote Audit Scotland and the career opportunities available. During 2010 we will also be producing a planned editorial.</p> <p>A higher percentage (40%) of disabled applicants were shortlisted in 09/10, compared to the previous year (14.3%). In both years, no disabled candidates were appointed. Focusing on this year, a similar percentage of disabled and not disabled applicants were shortlisted. However, no disabled applicants were appointed, compared to 4.9% of not disabled candidates.</p> <p>The definition of disability in our recruitment process changed during 2009 to the social model, as advised by Capability Scotland. It does not appear to have resulted in a change to the number of candidates declaring a disability during 09/10.</p> |
| <b>Religion</b>   | Most applications were from those who stated either 'n/a' or 'no religion', followed by Church of Scotland and Roman Catholic. Fewest applications were from those who stated 'Other religion', Jewish and Buddhist. No appointments were made to candidates in these categories. As a percentage of applications received, the highest percentage of those shortlisted were for Sikh (75%) and 'No religion' (62.3%) | Most applications were from those who stated 'n/a' against religion, followed by Church of Scotland and Roman Catholic. Fewest applications were from those who were Sikh, Buddhist and Muslim. No appointments were made to candidates in these categories.                                | <p>The distribution of applicants to religious categories was similar across both 2008/09 and 2009/10. During 2009, the religious categories recorded for recruitment monitoring changed. The category 'n/a' was deleted and replaced with the category 'no religion' From the data recorded so far, it gives a clearer indication between candidates who have a religion, to those that do not.</p> <p>Although applicants from Jewish, Buddhism, Sikh, Muslim and Hindu religions are making it through to the shortlisting stage, none have been successfully appointed over both reporting periods.</p>  |

## Promotions

54. During the period April 2009 to March 2010, there were nine promotions and 21 people were offered an acting up or additional responsibility opportunity. 100% were for white employees. Annex 1, exhibit 11 shows promotions and acting up or additional responsibility opportunities by gender over the last four reporting periods. The majority were for females, except March 2010, where three more males than females were offered promotion opportunities. The majority of promotions and acting up-

additional responsibility arrangements were within the age bracket 35-49 and were for employees with standard contracts.

## Performance Appraisal and Development (PAD)

55. An individual's performance is assessed annually against the core competencies for their role at a formal PAD meeting. We have adopted a single PAD cycle across the whole organisation. All staff are required to have at least one annual PAD meeting within specified date ranges, with paperwork reaching Human Resources by mid April.
56. Performance is scored using a 1-3 scale with 1 being superior performance and 3 indicating that urgent improvement is required. Members of the fixed point salary group do not receive a scored PAD and are not included in the figures in Annex 1. Recent new starters and those on long-term sick/maternity leave are also not included.
57. The majority of staff (254 from 304 total staff) received a completed PAD review by 30th April 2010. Due to the small numbers involved, we cannot report on those who did not receive a PAD review. Human Resources are actively following up on individual cases.
58. For this report a breakdown of PAD scores by ethnicity has not been provided given the small numbers involved in each category. The breakdown of PAD scores by age and working pattern will be examined in the next reporting period (2010/2011), as part of the introduction of contribution based pay. Detailed charts and tables showing the distribution of PAD scores across the organisation and distribution by gender can be seen in exhibits 12 and 13 within annex 1.

## Training

59. Human resources keep a record of training undertaken by Audit Scotland. Following a review of the training records for the period 1 April 2009 to 31 March 2010, we confirmed:
  - Training was recorded as having been undertaken across 62 (82 in 2009) different training areas. This does not include on-line computer based training.
  - All 302 of our employees are recorded as having received formal training during the period April 2009 to March 2010<sup>3</sup>.

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<sup>3</sup> All staff received formal training on the introduction of our new performance appraisal and development scheme. Human Resources capture formal training events and initiatives, however we are aware that not all training activity is recorded. A large amount of learning and development takes place informally or is taking place at a business group level but is not captured, recorded or evaluated. Work is being done during 2010/11 to find a better way of capturing learning and development that is taking place across the organisation.

## Leavers

60. During the period April 2009 to March 2010, 16 people resigned from the organisation (permanent contracts or prior to the expiry of a fixed term contract, out of a total of 19 leavers). Exhibit 14 within Annex 1 shows leavers (resignations only) by gender. The majority of leavers during the period were on standard working patterns. Due to the small numbers involved, we are unable to report on ethnicity. Resignations were received from staff across all four age bands. The majority of leavers fell within the age category 25-34. The turnover figure<sup>4</sup> for the year ending 31 March 2010 is 6.25% (19 leavers / average 304 staff x 100).<sup>5</sup>
61. Every leaver has the opportunity to complete a Leaver Survey Form where they can detail the positive and negative aspects of working at Audit Scotland. Each leaver survey is reviewed by a member of the Human Resources team. If there are areas of concern, they will be followed through appropriately, whether relating to diversity and equality concerns or on any other basis.

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4 Our turnover indicator was revised during June 2009. The turnover figure is now calculated in line with Chartered Institute of Personnel & Development guidance and takes account of all leavers throughout the year. The calculation is as follows: total number of leavers during year ÷ average number of staff employed during the year x 100. Internally, we also look at turnover calculations for voluntary leavers only i.e. unplanned turnover.

5 This compares with average figures of 12.6% (public services), 16.8% (private sector services), manufacturing and production (15.3%) and voluntary, community and not-for-profit (16.4%) - Chartered Institute of Personnel and Development, 2009 Annual Survey on Recruitment, Retention and Turnover.

# Improving our confidence and skills

62. The value that Audit Scotland delivers is based upon the knowledge and skills of our staff. We can only have an effective, efficient and continuously improving organisation if our staff are properly equipped for the work they do. We believe that all our staff have a role to play in our approach to diversity and equality and we encourage all staff to take personal responsibility for considering diversity and equality in their daily work.

## Leadership and direction

63. The Diversity and Equality Steering Group was established 18 months ago to help embed diversity and equality within the organisation and to ensure a coordinated corporate response on equality issues. The Steering Group reports its activity and progress on its workplan and priorities directly to Audit Scotland's Senior Management Team, which in turn reports directly to the Audit Scotland Board, the Auditor General for Scotland and the Accounts Commission.
64. The Group steers the organisation's strategy on all diversity and equality related matters, including ensuring effective design and delivery of Audit Scotland's and the Account Commission's single equality schemes and actions plans. The Steering Group holds our business groups to account for their progress in mainstreaming diversity and equality in our activities.
65. The Steering Group includes senior leads for each business area together with practitioner and specialist members who have an interest in the subject of equality and diversity and are developing their expertise on individual areas of equalities. The Steering Group has a strategic role but its membership, rooted within different teams based across Audit Scotland, is able to ensure that action and the process of culture changes takes place at a local level.
66. Members of the Steering Group have attended conferences and courses to develop their expertise. Representatives from the Group attended the Making Equality Work Conference; the Holyrood Disability Equality Conference and a conference on the New Equality Bill: The implications for the public sector and public procurement in Scotland.

## Improving knowledge and skills

67. As part of the development of our single equality scheme, a staff involvement event was held to inform the development of the equality action plan. Key findings related to participants' awareness and understanding of equality issues and how to incorporate equality and diversity issues into their everyday work. The outcomes from the event fed into the development of the action plan which we

are now monitoring. These focused on improving access to information and resources; training and skills; guidance, and expectations.

68. To allow us to undertake and improve our impact assessments and support wider understanding of equalities across all parts of our organisation we developed a new training programme on awareness of equalities and the specific public sector duties. After piloting this, we carried out further training across the organisation throughout 2009/10. We provided a mix of training events, targeting staff who are involved in one of the priority projects or more general training sessions aimed at raising staff awareness.

## **Reflecting equalities in our competencies**

69. Our revised competency framework, which helps our staff understand the behaviours which we seek to promote in our work, including behaviour and attitudes which support diversity and equality, was launched for the 2009/10 performance appraisals in April 2009 and supported the setting of objectives for all staff and managers as part of the performance management and appraisal system. We completed a similar project for senior managers and leaders in November 2009.

# Annex 1: Monitoring Information

70. The graphs and tables provided in this section provide detailed diversity statistics relating to Audit Scotland's staff profile, recruitment, promotions, discipline and grievance, training, performance appraisal scores and leavers. Where numbers represent less than five employees, there is no specific reporting for confidentiality reasons.

## Staff Profile

71. Exhibit 1 shows the ethnicity profile of Audit Scotland over four years (2006–2010). It also includes Scottish population data on working age and those in employment.

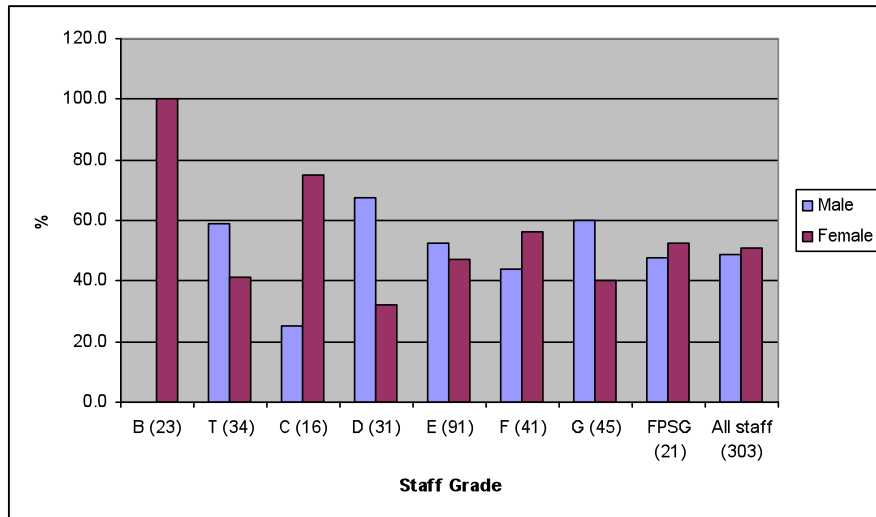
Exhibit 1 Ethnicity profile

| Ethnicity       | Audit Scotland staff |        |        |        |  | Working age population in Scotland (%-08/09) | People in employment in Scotland (% - 07/08) |
|-----------------|----------------------|--------|--------|--------|--|--|--|
|                 | Dec-06               | Mar-08 | Mar-09 | Mar-10 |  |  |  |
| White           | 98.2                 | 98.6   | 98.3   | 98.3   |  | 96.6   | 97.3   |
| Minority ethnic | 1.8                  | 1.4    | 1.7    | 1.7    |  | 3.3  | 2.7  |

Source: Audit Scotland & Annual Population Survey October 2007 – September 2008, ONS

72. Audit Scotland has 302 employees as at 31 March 2010<sup>6</sup>. Exhibit 2 shows the percentage of males and females employed within each grade.

**Exhibit 2 Gender profile by grade**



Note: figures in brackets show the total number staff in each grade<sup>7</sup>.  
Source: Audit Scotland

73. Exhibit 3 shows the gender profile for Audit Scotland staff over four years (2006-2010).

**Exhibit 3 Gender profile 2006-2010**

| Gender | Audit Scotland staff |                   |                |                | Working age population in Scotland (%-08/09) |
|--------|----------------------|-------------------|----------------|----------------|--|
|        | December 2006 (%)    | December 2008 (%) | March 2009 (%) | March 2010 (%) |  |
| Male   | 52.2                 | 50.5              | 49             | 49             | 51.4   |
| Female | 47.8                 | 49.5              | 51             | 51             | 48.6   |

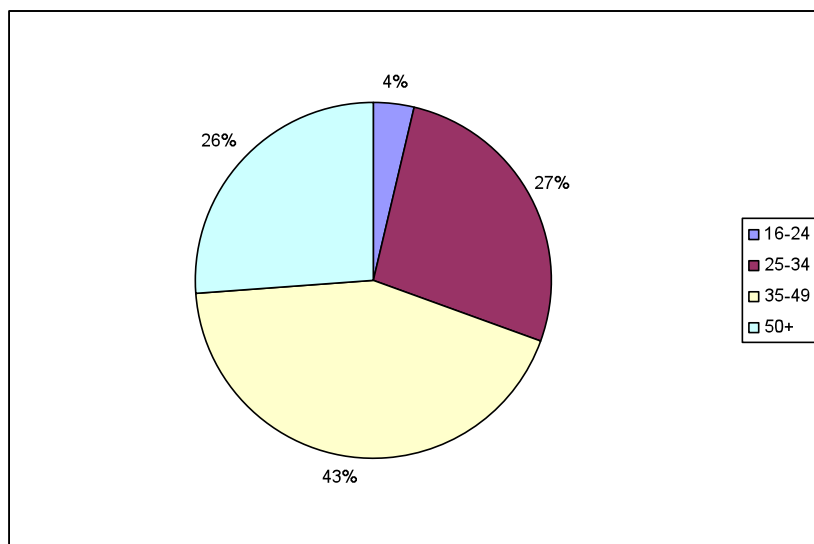
Source: Audit Scotland

<sup>6</sup> This does not include one student placement.

<sup>7</sup> B – Administration, C – Specialists, D – Senior Specialists, E – Auditors, F – Managers, G – Senior Managers, T – Trainee Auditor, FPSG – Fixed Point Salary Group (Directors and Assistant Directors)

74. Exhibit 4 shows the age profile of Audit Scotland staff as at 31 March 2010.

Exhibit 4 Age profile



| Age | 16-24 | 25-34 | 35-49 | 50+ |
|-----|-------|-------|-------|-----|
|     | 11    | 81    | 131   | 79  |

Source: Audit Scotland

75. Exhibit 5 below sets out the age profile of staff over the last two reporting periods. This also includes annual population survey data for the period July 2008 to June 2009.

Exhibit 5 Age profile 2009 - 2010

| Age   | March 2009 (%) | March 2010 (%) | People in employment in Scotland (08/09) | Working age population in Scotland |
|-------|----------------|----------------|--|------------------------------------|
| 16-24 | 4.3            | 3.6            | 15.2                                     | 19.0                               |
| 25-34 | 27.5           | 26.8           | 20.9                                     | 19.5                               |
| 35-49 | 42.4           | 43.4           | 39.2                                     | 35.7                               |
| 50+   | 25.8           | 26.2           | 24.6                                     | 25.8                               |

Source: Audit Scotland and Annual Population Survey July 2008 – June 2009, ONS

76. Audit Scotland operates a flexi time scheme and homeworking policy to enable staff to strike a better balance between their home and work responsibilities. Exhibit 6 shows an analysis of alternative working arrangements by age, gender and ethnicity (2006-2010). Due to the age ranges changing in 2009 (to be in line with the ONS data); years 2009 and 2010 have only been shown. The number of flexible working arrangements being recorded has increased during 2010 as the term 'flexible working' now includes any changes out with the standard working pattern.

**Exhibit 6 Alternative working arrangements by gender, ethnicity and age (2006 to 2010)**

|                        | <b>December 2006 (%)</b> | <b>March 2008 (%)</b> | <b>March 2009 (%)</b> | <b>March 2010 (%)</b> | <b>2010 - as % of all in category</b> |
|------------------------|--------------------------|-----------------------|-----------------------|-----------------------|---------------------------------------|
| <b>Male</b>            | 11.4                     | 10.8                  | 9.5                   | 14.3                  | 4.7                                   |
| <b>Female</b>          | 88.6                     | 89.2                  | 90.5                  | 85.7                  | 27.3                                  |
| <b>White</b>           | 97.1                     | 97.3                  | 97.6                  | 100.0                 | 16.5                                  |
| <b>Minority Ethnic</b> | 2.9                      | 2.7                   | 2.4                   | 0.0                   | 0.0                                   |
| <b>Age ranges</b>      |                          |                       | <b>March 2009 (%)</b> | <b>March 2010 (%)</b> | <b>2010 - as % of all in category</b> |
| <b>16-24</b>           |                          |                       | 0.0                   | 0.0                   | 0                                     |
| <b>25-34</b>           |                          |                       | 19.00                 | 28.6                  | 17.3                                  |
| <b>35-49</b>           |                          |                       | 47.60                 | 40.8                  | 15.3                                  |
| <b>50+</b>             |                          |                       | 33.30                 | 30.6                  | 19                                    |

Source: Audit Scotland

## Recruitment

77. Audit Scotland's recruitment and selection process is designed to be fair, robust and follow best practice principles. Individuals are assessed on the competencies required to carry out the role effectively. All staff involved in recruitment and selection attend corporate training which covers the legislative framework and diversity and equality issues. An analysis of applications for internally and externally advertised vacancies during the period April 2009 to March 2010 is provided below (exhibit 7), by number of applications, number short-listed and number appointed.

78. Age has been recorded in a separate table as the age ranges have changed part way through 2009, in line with the ONS age ranges. Religion has also been recorded in a separate table as the religious categories have changed during 2009, to include the category 'no religion'. These results should be interpreted carefully given the number of applications where no information (or a n/a response) has been provided.

Exhibit 7 Recruitment during the period April 2009 and March 2010

| Ethnicity                  | Stage 1:<br>Applications<br>received |      | Stage 2:<br>Applications<br>short-listed |      | Stage 3:<br>Applications<br>appointed |      |
|----------------------------|--------------------------------------|------|--|------|---------------------------------------|------|
|                            | No.                                  | %    | No.                                      | %    | No.                                   | %    |
| White                      | 381                                  | 81.9 | 133                                      | 81.1 | 21                                    | 91.3 |
| Minority ethnic            | 67                                   | 14.4 | 23                                       | 14.0 | 0                                     | 0.0  |
| No information<br>provided | 17                                   | 3.7  | 8  | 4.9  | 2                                     | 8.7  |
| Gender                     | No.                                  | %    | No.                                      | %    | No.                                   | %    |
| Female                     | 139                                  | 29.9 | 59                                       | 36.0 | 7                                     | 21.9 |
| Male                       | 303                                  | 65.2 | 97                                       | 59.1 | 24                                    | 75.0 |
| No information<br>provided | 23                                   | 4.9  | 8  | 4.9  | 1                                     | 3.1  |
| Disability                 | No.                                  | %    | No.                                      | %    | No.                                   | %    |
| Yes                        | 5                                    | 1.1  | 2  | 1.2  | 0                                     | 0.0  |
| No                         | 428                                  | 92.0 | 152                                      | 92.7 | 21                                    | 91.3 |
| No information<br>provided | 32                                   | 6.9  | 10                                       | 6.1  | 2                                     | 8.7  |

Source: Audit Scotland

Exhibit 8 Recruitment – age & religion (old categories April 09 – Jul 09)

| Age                        | No. | %    | No. | %    | No. | %    |
|----------------------------|-----|------|-----|------|-----|------|
| <25                        | 32  | 12.4 | 5   | 8.3  | 2   | 16.7 |
| 25-34                      | 79  | 30.5 | 16  | 26.7 | 3   | 25.0 |
| 35-44                      | 61  | 23.6 | 20  | 33.3 | 5   | 41.7 |
| 45-55                      | 37  | 14.3 | 8   | 13.3 | 0   | 0.0  |
| 55+                        | 27  | 10.4 | 5   | 8.3  | 1   | 8.3  |
| No information<br>provided | 23  | 8.9  | 6   | 10.0 | 1   | 8.3  |

Source: Audit Scotland

Exhibit 8 (cont'd) Recruitment – age & religion (old categories April 09 – Jul 09)

| Religion                | No. | %    | No. | %    | No. | %    |
|-------------------------|-----|------|-----|------|-----|------|
| Church of Scotland      | 58  | 22.4 | 15  | 25.9 | 3   | 25.0 |
| Hindu                   | 8   | 3.1  | 1   | 1.7  | 0   | 0.0  |
| Other Christian         | 14  | 5.4  | 3   | 5.2  | 1   | 8.3  |
| Roman Catholic          | 31  | 12.0 | 6   | 10.3 | 1   | 8.3  |
| Muslim                  | 9   | 3.5  | 3   | 5.2  | 0   | 0.0  |
| Sikh                    | 0   | 0.0  | 0   | 0.0  | 0   | 0.0  |
| Buddhist                | 2   | 0.8  | 0   | 0.0  | 0   | 0.0  |
| Jewish                  | 2   | 0.8  | 1   | 1.7  | 0   | 0.0  |
| Other                   | 2   | 0.8  | 3   | 5.2  | 0   | 0.0  |
| N/a                     | 113 | 43.6 | 24  | 41.4 | 6   | 50.0 |
| No information provided | 20  | 7.7  | 2   | 3.4  | 1   | 8.3  |

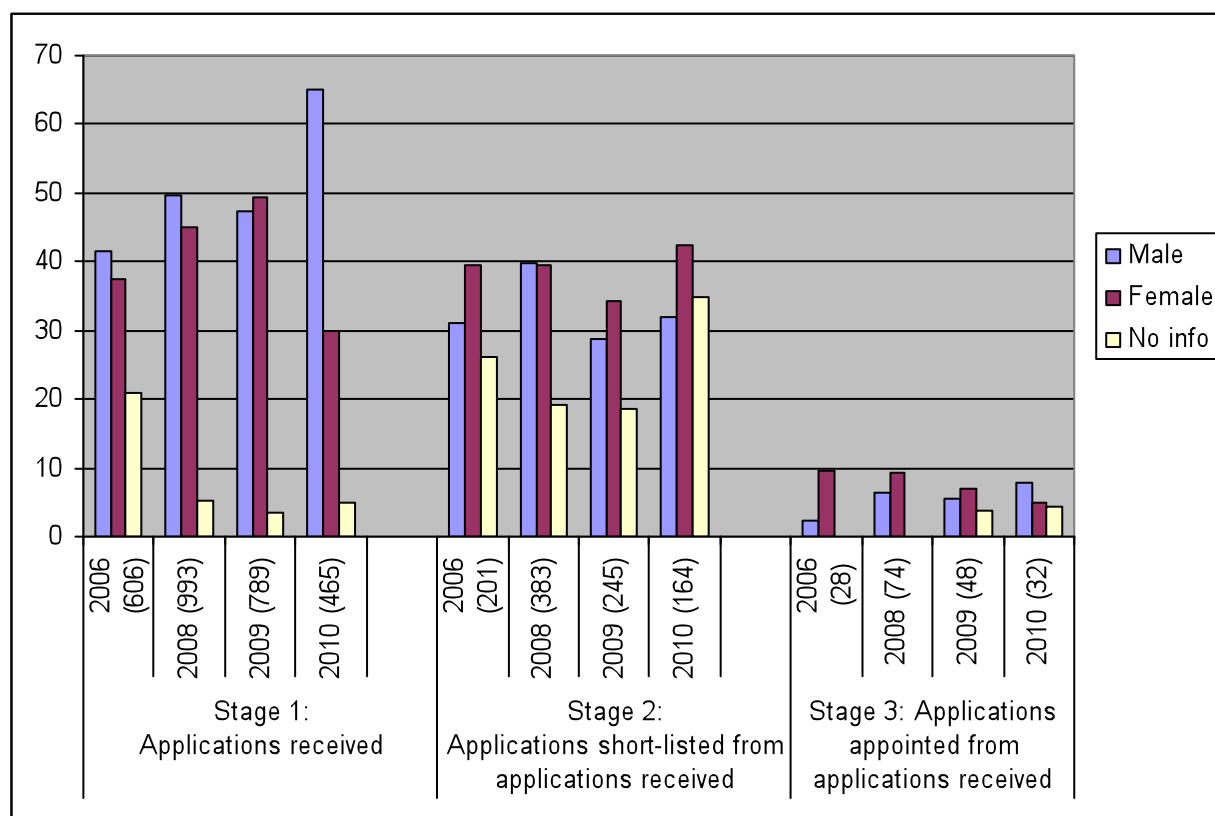
Source: Audit Scotland

Exhibit 9 Recruitment – age & religion (new categories Aug 09 – Mar 10)

| Age                     | No. | %    | No. | %    | No. | %    |
|-------------------------|-----|------|-----|------|-----|------|
| 16-24                   | 34  | 20.4 | 24  | 25.5 | 2   | 18.2 |
| 25-34                   | 62  | 37.1 | 43  | 45.7 | 4   | 36.4 |
| 35-49                   | 46  | 27.5 | 20  | 21.3 | 4   | 36.4 |
| 50+                     | 15  | 9.0  | 1   | 1.1  | 0   | 0.0  |
| No information provided | 10  | 21.0 | 6   | 6.4  | 1   | 9.1  |

| Religion                | No. | %    | No. | %    | No. | %    |
|-------------------------|-----|------|-----|------|-----|------|
| Church of Scotland      | 35  | 21.0 | 16  | 17.0 | 1   | 9.1  |
| Jewish                  | 0   | 0.0  | 0   | 0.0  | 0   | 0.0  |
| Sikh                    | 4   | 2.4  | 3   | 3.2  | 0   | 0.0  |
| Other Christian         | 13  | 7.8  | 8   | 8.5  | 1   | 9.1  |
| Roman Catholic          | 33  | 19.8 | 17  | 18.1 | 1   | 9.1  |
| Buddhist                | 1   | 0.6  | 1   | 1.1  | 0   | 0.0  |
| Hindu                   | 4   | 2.4  | 2   | 2.1  | 0   | 0.0  |
| Muslim                  | 3   | 1.8  | 2   | 2.1  | 0   | 0.0  |
| Other religion          | 0   | 0.0  | 0   | 0.0  | 0   | 0.0  |
| No religion             | 61  | 36.5 | 38  | 40.4 | 6   | 54.5 |
| No information provided | 13  | 7.8  | 7   | 7.4  | 2   | 18.2 |

Exhibit 10 Recruitment comparisons by gender 2006 – 2010



Source: Audit Scotland

## Promotions

79. Exhibit 11 below shows promotions and acting up or additional responsibility opportunities by gender over the last four reporting periods.

Exhibit 11 Promotions and acting up opportunities by gender

|               | Promotions |      |          |      |          |      |          |      | Acting up/Additional Responsibility |      |          |       |          |      |          |      |
|---------------|------------|------|----------|------|----------|------|----------|------|-------------------------------------|------|----------|-------|----------|------|----------|------|
|               | Dec 2006   |      | Mar 2008 |      | Mar 2009 |      | Mar 2010 |      | Dec 2006                            |      | Mar 2008 |       | Mar 2009 |      | Mar 2010 |      |
|               | No         | %    | No       | %    | No       | %    | No       | %    | No                                  | %    | No       | %     | No       | %    | No       | %    |
| <b>Male</b>   | 6          | 42.9 | 7        | 38.9 | 2        | 22.2 | 6        | 66.7 | 6                                   | 54.5 | 0        | 0.0   | 4        | 33.3 | 9        | 42.9 |
| <b>Female</b> | 8          | 57.1 | 11       | 61.1 | 7        | 77.8 | 3        | 33.3 | 5                                   | 45.5 | 7        | 100.0 | 8        | 66.7 | 12       | 57.1 |

Source: Audit Scotland

## Disciplinary Action and Grievances

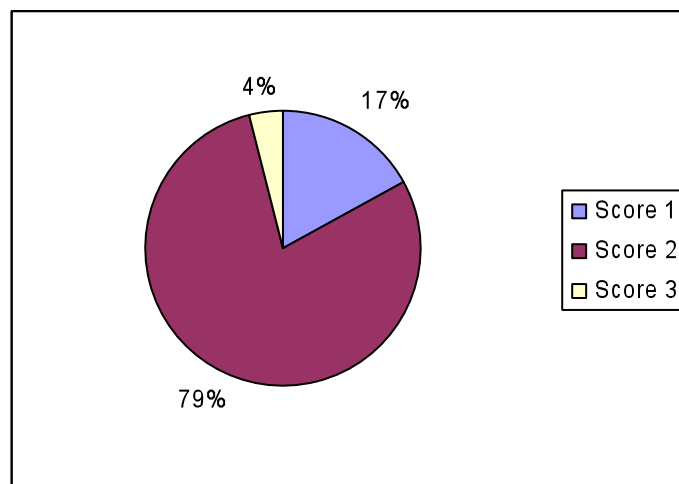
80. There were six disciplinary and grievance cases during the period April 2009 to March 2010. Internal monitoring carried out by Human Resources does not show any disproportionate bias terms of gender, ethnicity, working pattern or age.

## Performance appraisal & development (PAD)

81. Total PAD overall scores are shown in Exhibit 12. Exhibit 13 shows the percentage of males and females achieving each score as a percentage of all males/females with a scored PAD review.

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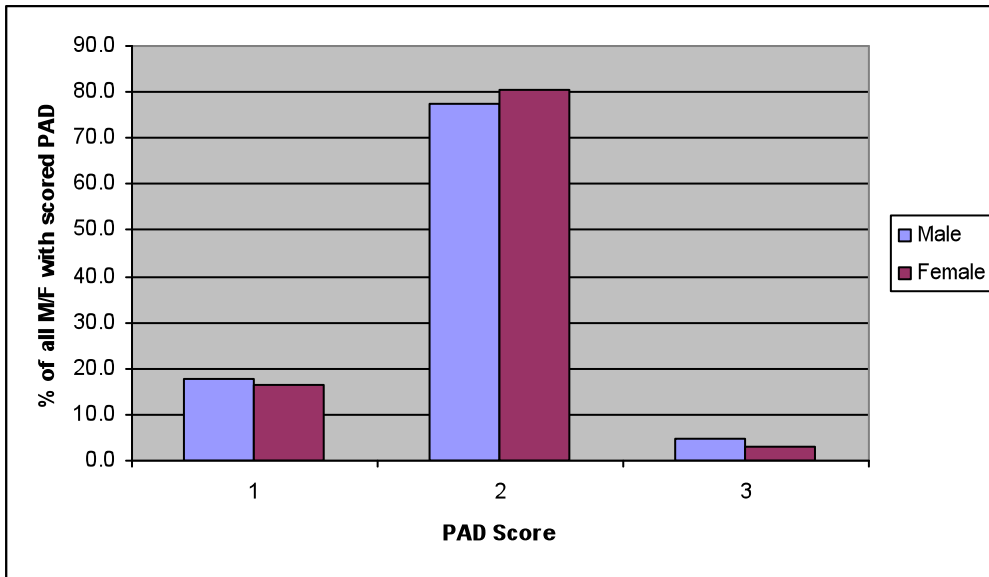
Exhibit 12 Total PAD scores



Source: Audit Scotland

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Exhibit 13 PAD performance scores by gender



Source: Audit Scotland

## Leavers

Exhibit 14 Leavers by gender

| Gender | 2005 |    | 2006 |    | 2008 |    | 2009 |      | 2010 |    |
|--------|------|----|------|----|------|----|------|------|------|----|
|        | No.  | %  | No.  | %  | No.  | %  | No.  | %    | No.  | %  |
| Male   | 3    | 38 | 12   | 57 | 10   | 50 | 10   | 71.4 | 6    | 43 |
| Female | 5    | 62 | 9    | 43 | 10   | 50 | 4    | 28.6 | 8    | 57 |

Source: Audit Scotland