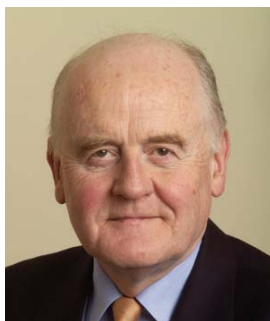


# Audit Scotland

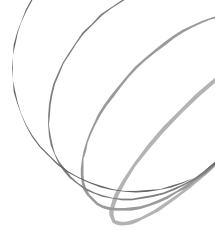
**Disability Equality Scheme: 2006 – 2009**

## **Introduction by the Auditor General**



Audit Scotland is committed to valuing and promoting equality and diversity. Improving disability equality is not only something we must do because of law, it is something we must do because it is right, and we believe that we can play an important role in this. Through the production of this Scheme and the actions contained within, and also our ongoing work in the other equality strands, Audit Scotland is striving towards taking a leading role in promoting equal opportunities practices and diversity both as an employer and as a service delivery agent to the Auditor General for Scotland and the Accounts Commission.

**Robert W Black**



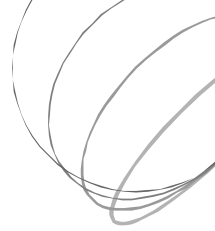
# Introduction

## Background

1. Audit Scotland provides services to the Auditor General and the Accounts Commission for Scotland. Together, we ensure that the Scottish Executive and public sector bodies in Scotland are held to account for the proper, efficient and effective use of public money. We do this by carrying out performance studies of public services, audits of Best Value in councils and overseeing the audits of around 200 organisations including:
  - 65 central government bodies (Scottish Executive departments, non-departmental public bodies, commissions and other accounts)
  - 23 NHS bodies
  - 32 councils
  - 40 police, fire and other boards
  - 39 further education colleges
  - Scottish Water.
2. Our Corporate Plan identifies our three strategic priorities which provide the focus of Audit Scotland's work:
  - Supporting effective democratic scrutiny
  - Maximising the value of the audit
  - Building an effective and efficient organisation.
3. Audit Scotland adheres to a code of conduct that sets out the standards we expect of staff. The way we work is based on four values - effective communication; quality; commitment to learning and improvement; and respect.

## The Disability Equality Duty

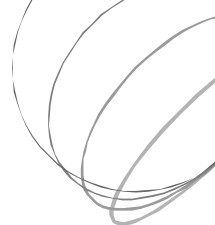
4. The Disability Discrimination Act (DDA) 1995 has been amended by the DDA 2005 to place a duty on all public sector authorities to promote disability equality. The legislation means we must be proactive in ensuring that disabled people are treated fairly. This new Disability Equality Duty (DED) is about promoting disability equality and embedding equality for all, including disabled people, into our culture in practical and demonstrable ways. This means including disabled people and disability equality in everything we do.



5. The duty has two elements – a general duty and a specific duty. The general duty requires all public authorities to have due regard to the need to:
  - Promote equality of opportunity between disabled persons and other persons
  - Eliminate discrimination that is unlawful under the Act
  - Eliminate harassment of disabled persons that is related to their disabilities
  - Promote positive attitudes towards disabled persons in public life; and
  - Take steps to take account of disabled persons' disabilities, even where that involves treating disabled persons more favourably than other persons.
6. The specific duty requires the creation of a disability equality scheme and an action plan. Audit Scotland is subject to both elements of the duty.
7. The duty is based on the 'social model' of disability which recognises that at present disabled people do not have the same opportunities or choices as non-disabled people. Nor do they enjoy equal respect or full inclusion in society on an equal basis. The poverty, disadvantage and social exclusion experienced by many disabled people is not the inevitable result of their impairments or medical conditions, but rather stems from attitudinal and environmental barriers.

## **Disability and the other equality strands**

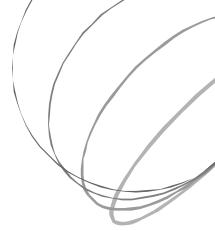
8. Understanding issues of diversity and equality is important not only for how we run Audit Scotland itself, but also for working with our clients and stakeholders, all of whom have to consider equality and diversity in the day-to-day delivery of public services. We believe that we can play an important role in promoting disability equality, and equality and diversity more widely, both as an employer, and as a service delivery agent for the Auditor General for Scotland and the Accounts Commission.
9. In 2005 we committed to the implementation of the Diversity Excellence Model (DEM), a robust tool for assessing and developing the way in which we manage diversity in Audit Scotland (see Appendix 1). We have undertaken a review of our current position and this resulted in an action plan aimed at mainstreaming diversity into our working practices.
10. While our disability equality scheme and action plan will form the basis of our work specifically on improving disability equality, it will also be fully integrated with the DEM as part of a wider co-ordinated approach to improving equality and diversity across all equality strands.



11. A result of this approach will be the production of one integrated equality scheme in the future. We are aware that the DED may have more rigorous requirements than the other equality strands (race, gender, etc), such as involving of disabled people in assessing our priorities. However, our ultimate aim is to work to this higher standard for all equality strands.

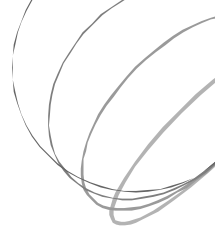
## **Leading and Co-ordinating our Approach to the DED**

12. The Auditor General for Scotland is the Accountable Officer and has overall responsibility for our Disability Equality Scheme. He will work closely with the senior management team (SMT) to oversee the scheme and our action plan. Responsibility for the implementation of the scheme rests with the Director of Corporate Services, who chairs our Diversity and Equality Working Group (DEWG).
13. The DEWG involves representatives from across Audit Scotland, including our staff trade union. The role of the DEWG is to develop, monitor and review our progress against the equality duties, and report on progress to SMT. Further information on the role of this group and disabled people in monitoring and reviewing our scheme is provided later.
14. We believe that all our staff have a role to play in our approach to diversity and equality. All of our senior managers and Directors receive training on equality through the Management Development Programme and in 2007 all staff will also be required to complete training on diversity and equality to supplement the introduction provided in our induction programme.



# Policies and Activities

15. The way in which we develop policies and conduct our activities lies at the heart of the DED and we recognise that if we are to improve disability equality then we must ensure that:
  - Our policies and activities do not discriminate against disabled people; and
  - Consideration of disability is fully embedded within the way we develop policies and the way we carry out activities.
  
16. The steps set out in the rest of the scheme are the means by which we aim to get there.
  
17. Our key functions are as follows:
  - Procuring the audit of public bodies for the Auditor General and the Accounts Commission
  - Delivering the audit where we are the appointed auditors.
  - Undertaking performance audit and other studies for the Accounts Commission and the Auditor General to assess the economy, efficiency and effectiveness of public services
  - Undertaking Best Value audits for the Accounts Commission
  - Specifying and publishing statutory performance information for the Accounts Commission.

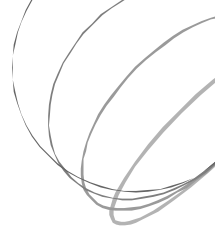


# Involving Disabled People

18. At the heart of the DED specific duty is the requirement to involve disabled people in producing the Disability Equality Scheme and action plan. We recognise that to improve disability equality and eradicate any discrimination in Audit Scotland then disabled staff and stakeholders have to be involved in not only identifying potential discrimination but also in identifying solutions and reviewing the progress and impact of those solutions. Involvement is a long-term process and we are fully committed to this.
19. To maximise the benefit from involvement and to make sure that disabled people have the opportunity to contribute fully, we are approaching involvement in two ways – involvement of disabled staff to look primarily at our internal policies and activities, but also our external-facing work; and involvement of external stakeholders to assess our policies and activities which affect those outside the organisation.
20. With both approaches we are aiming to involve people with a range of different types of disability. In the short-term, we have attempted to involve as many people as has been practicable. As the DED recognises, it is impossible to involve people with every type of disability, however, we will continue to work towards extending involvement to include as many as possible.
21. The senior management of Audit Scotland have supported this work through the allocation of resources and messages of support to staff. They have stressed the importance of this work to staff and their commitment to the DED through staff communications and attendance and participation at a staff involvement event.

## Internal Involvement

22. We have brought together a group of staff to be involved in creating this scheme and to help identify solutions and monitor and review the scheme and action plan.
23. Audit Scotland does not yet systematically collect information on disability from its staff. Through our training and development work on equality and diversity, we are working towards a culture that supports collating and sharing sensitive information. This is outlined in more detail in paragraph 53. In order to overcome this potential barrier to involvement an invitation was issued to all staff inviting them to become involved in our work on the DED if they had a disability or if they had experience of/interest in disability. They did not need to disclose to anyone the grounds on which they were participating. Information was collected through an anonymous form to ensure disabled staff are



represented in the group. 19 staff became involved, of which we know that at least five have one of a range of disabilities.

24. In the short-term the group were tasked with helping to create Audit Scotland's disability equality scheme. This involved spending a day together assessing:
  - each internal policy and activity to identify potential and actual discrimination against disabled staff
  - the potential impact of each policy and activity on disabled staff
  - the relative importance of each policy and activity.
25. From this, priorities for impact assessment were identified and this is discussed in more detail in the following section. Those who were unable to attend contributed by phone, email and one-to-one meetings. Members of the group were also involved in carrying out an initial assessment of our outward-facing policies and activities (in the longer term our external involvement group will also become involved in this aspect). The group also commented fully on the draft disability equality scheme via email.

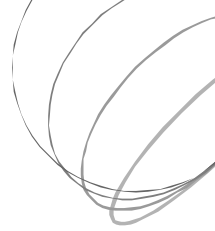
## **Taking internal involvement further**

26. The involvement group has responsibility for deciding what involvement should look like once the scheme is published. There are some specific actions to be undertaken, such as monitoring and reviewing the scheme and the action plan and these are detailed in the relevant sections. The group will decide, in conjunction with the DEWG, what format these will take.
27. Members of the group feel that expanding the membership to involve more types of disability would be very beneficial. We will expect actions in the action plan such as awareness-raising among all staff about what disability is and new arrangements for gathering information to impact positively upon membership of the group.
28. Group members have been given express permission by senior management to spend time on this work.

## **External Involvement**

29. As explained previously, Audit Scotland provides services to the Auditor General for Scotland and the Accounts Commission. However, the work that we do and the way in which we do it affects a much larger audience. Our two primary stakeholders are the public sector bodies who we hold to account, such as local authorities and the Scottish Executive; and the Scottish public and taxpayers in whose interests we audit public bodies' services and expenditure. As 1 in 5 people in Scotland are disabled



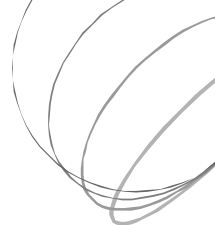


at some time in their lives, and 30% of the workforce are in the public sector<sup>1</sup> we see a key role for disabled people in informing how we carry out our work.

30. This is a challenging aspect of involvement for Audit Scotland. There is a widespread lack of knowledge among the general public about who Audit Scotland is and what we do and this extends through to many staff in the bodies we audit. Gaining meaningful involvement therefore requires a long-term process of engagement whereby we work with disabled stakeholders over a period of time to develop their capacity to fully engage with us. This is set out in more detail in the following section.
31. This situation has presented challenges for us in involving disabled stakeholders in a meaningful way in the development of our disability equality scheme. The need to build knowledge from a low base has had to be balanced with the need for meaningful engagement in the short-term. To meet both these needs we have used a number of approaches:
  - Engagement with other audit bodies to learn lessons from their approaches to involvement
  - contact with a number of disability organisations to explore the role they may be able to play in identifying potential disabled stakeholders
  - personal contacts to identify disabled stakeholders who may be willing to engage with us.
32. These approaches resulted in us being able to involve three external disabled people straight-away. They have also laid the foundations for taking forward our long-term involvement plans.
33. In order for immediate meaningful involvement to begin quickly, we focused on how we communicate externally, namely throughout reports and our web pages. In one-to-one meetings, our three stakeholders were each asked to review parts of a report and/or to try and access information on our web pages. Their comments on, for example, accessibility were then collated and fed into the assessing impact section and the action plan.
34. These people, whose disabilities are mainly physical and visual, have been invited to form the basis of our longer-term external involvement group and to help us decide the best way to expand and develop this.

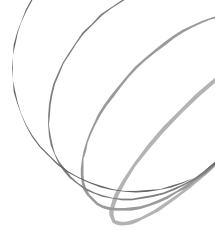
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<sup>1</sup> 2003 Labour Force Survey in Scottish Executive Disability Statistics Publication, 2004



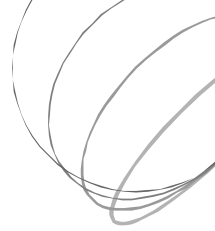
## Taking external involvement further

35. We know that to make involvement with external stakeholders effective, we need to invest in disabled people with an interest in our work to explain how we do our work and why, and we know that this is a long-term process. We want to develop a long-term involvement with an informed group of disabled stakeholders who are able to contribute fully to reviewing and assessing impact and monitoring progress. The approaches described above are the beginnings of this process and we know that to reach our desired position we will need to continue to develop these approaches. This will allow us to extend the numbers involved and the range of disabilities included and also to widen the scope of their involvement.
  
36. This will potentially involve remunerating participants and will certainly involve providing them with training and support through the involvement process. Specific actions relating to external involvement are laid out in the action plan, with the general approach being two-fold:
  - recruit a pool of members of the public who we will then work with to develop an understanding of Audit Scotland with a view to assessing our work
  
  - work with other public sector bodies (and other relevant organisations, such as our private audit firms) to identify disabled staff in their organisations who would be willing to become involved in assessing the more technical aspects of our work (such as audit practice).

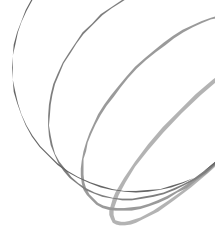


# Assessing the impact of policies and activities

37. Audit Scotland is committed to valuing and promoting diversity and strives to take a leading role in promoting equal opportunity practices both as an employer and in our auditing role. We recognise, however, that we need to review our policies and functions both to ensure that they do not unintentionally disadvantage disabled people, and to identify where we can better promote equality of opportunity.
38. Through our existing diversity and equality action plan we have already started to identify areas of our work for improvement. For example, RNIB are currently undertaking an accessibility audit of our internet site. To fully assess all aspects of our work, however, we are committed to undertaking impact assessments of our policies and activities.
39. In order for us to gain maximum value from the impact assessment process, we will be assessing our policies and activities against all the equality strands (both those in law and those forthcoming). We understand that the DRC is cautious about this approach in general because there is potential for disability issues to become 'lost' amid the other strands. However, we will put in place mechanisms to ensure that any issues particular to one strand of diversity and equality are properly addressed in the impact assessment process. One way in which this may happen is for separate assessments on e.g, disability, to take place if there are particular high priority issues. The DEWG has recently agreed to adopt the Scottish Executive's Impact Assessment Tool. We will seek input from our internal involvement group to help tailor the Tool to our needs and circumstances.
40. Early involvement with internal and external disabled stakeholders has helped to assess which of our policies and activities are most relevant to the general duty to promote disability equality. Disabled people have also helped to prioritise, in terms of disability, our programme of impact assessment reviews.
41. As discussed in the previous section, members of our disability staff involvement group, assessed each of our internal and external policies and activities. They then rated them for impact on disabled staff and importance in relation to our other policies and activities. The scale used for impact was – no impact on disabled staff, a little impact, some impact, and substantial impact on disabled staff. The scale used for importance of the policy or activity was - not very important, reasonably important, and very important. The scores for each of these were then mapped against each other to identify the disability priorities for impact assessment. Appendices 2 and 3 show the full results.



42. These disability priorities will be placed alongside the priorities for the other equality strands to determine the final priorities for impact assessment. As mentioned previously, mechanisms for ensuring that no important issues are missed will be developed through the action plan.
43. Undertaking full impact assessments can be resource intensive. To ensure that we get as much out of the process as possible, each assessment will be undertaken by a small group of trained participants. This group will also be fully supported throughout the assessment process. The group will be made up from a combination of those responsible for the policy/activity; members of the DEWG group; participants from the internal/external involvement groups; and other potential participants from other equality strands.
44. We are keen to involve disabled people where appropriate due to the knowledge and experience they will bring to the process. We will bear in mind, however, the DRC's advice on involvement remaining relevant and proportionate.
45. The impact assessment process will span the length of the scheme, therefore we are keen to start as soon as is practicable. We are aiming to conduct a pilot impact assessment within the next three to six months and then to roll out the programme after a review of the pilot.



# Mapping our performance

46. At present we have only limited information in relation to disability. In order to measure our performance on recruitment, development and retention of disabled employees and also to measure more rigorously our progress on improving disability equality, we must expand our information-gathering arrangements and report regularly on progress.
47. We currently produce an annual equality and diversity monitoring report. This includes gender and ethnicity information and looks at recruitment, development and retention of employees across Audit Scotland. This report enables us to identify and investigate further any patterns or evidence of disparity between men and women and people of different ethnicity. Expanding our information-gathering arrangements will allow us to examine disability in the same way.

## Recruitment

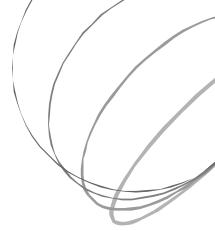
48. When applicants apply to Audit Scotland, information on whether or not they have a disability is collected and retained by our recruitment agency through an anonymous diversity form. This information is collated by our recruitment agency at the end of each campaign and a report is submitted to Audit Scotland. The report provides figures on the number of applicants at each stage of the recruitment process broken down by disability, ethnicity, gender, religion and age.

## Staff development and retention

49. 20% of Scotland's population consider themselves to have a disability<sup>2</sup>. If Audit Scotland is to be truly representative of the population we serve, then we need to know that our workforce reflects this figure. It is also important to know the profile of our disabled staff in order to monitor staff development and retention. At present, we do not have any mechanisms for gathering this information. In order to start collecting this information, however, the DEWG believes that staff awareness and understanding must be further developed before the new arrangements can operate successfully.
50. We are therefore taking a two-fold approach - the first involves building up staff awareness and understanding; and the second approach involves developing the bi-ennial staff survey to address our information needs on staff development and retention.

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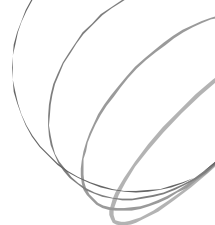
<sup>2</sup> General Registrar Office for Scotland, Scottish Census Results, 2001



51. During 2006/07, all senior managers will undertake our Management Development Programme which includes diversity and equality elements. All staff at every grade will also be required to complete training on diversity and equality during 2007. We have already started raising awareness among all staff about disability equality and equality and diversity in general through team presentations. This will continue and will be built on using internal staff communications and an updating of our intranet site.
52. Audit Scotland conducts a bi-ennial staff survey (next due in 2007) which is undertaken by an external agency with individual responses remaining anonymous and confidential. In 2005 it had a response rate of 78%. The survey covers topics such as staff views on management, how we conduct our work and the working environment. There is currently a demographics section which gathers information from respondents on areas such as job grade, department, age and length of service. By expanding this section to include disability this will give us an anonymous mechanism for collecting information about the number of staff who have a disability, their length of services and what grade they are on. We will also develop questions to provide broad information about staff development and general perceptions of progress on disability equality and equality and diversity more generally. By disaggregating the data to look at disability separately, we will be able to build up a picture of the development and retention of disabled staff.

## **Measuring progress**

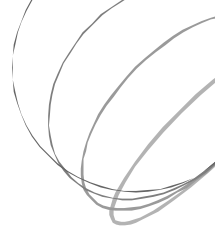
53. The involvement of disabled staff is helping us to identify key actions and prioritise our impact assessment programme for internal policies and activities. The continued involvement of external stakeholders will help us to do the same for our external-facing work. This work has fed into the action plan. The DEWG will monitor progress on the actions with the help of these groups.
54. In addition to monitoring the actions, and tracking staff recruitment, development and retention, we will measure progress on key aspects of diversity and equality (including disability) through the Diversity Excellence Model (DEM) and the staff survey. In the baseline DEM survey in 2005, we asked our staff how they thought Audit Scotland was performing in relation to diversity. They assessed us as being in the 'getting started' category for most areas (leadership, policy and strategy, people, partnerships and resources, processes, customer results, people results, society results and key performance results). Staff will be asked to reassess our performance on the same criteria in three to five years, providing us with a broad measure of our progress.
55. We will measure satisfaction and perceptions of disabled staff through the bi-ennial staff survey.
56. Measuring progress on our external audit activities is more difficult and will depend more on monitoring actions in the plan. The work of our external involvement group will also be an important



way of knowing that we are improving. Future discussions with them about the potential impact of our work on disabled people will help to prioritise our actions and develop ways of measuring progress.

## **Using the information**

57. As mentioned in each of the previous sections, the information that we gather, both on employment and on our wider performance, will allow us to meet our legal obligations and to measure progress on our action plan and disability equality in general. We have put in place an action to develop appropriate mechanisms for measuring progress and impact.



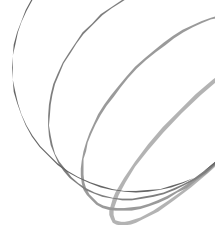
# Monitoring and Review

58. The DEWG group in conjunction with the involvement groups will monitor and review progress on the action plan in regular bi-monthly/quarterly meetings. The group currently produces an annual diversity monitoring report for each calendar year. This will be expanded to include disability equality when the information described in the previous section becomes available. The whole scheme and action plan will be reviewed and updated in three years.
59. The annual diversity monitoring report will set out:
  - Progress on actions taken in the past year
  - The results of information-gathering
  - What we have done with the information collected.
60. We will also publish the results of our impact assessments on an annual basis.
61. We will publish a revised disability equality scheme in December 2009.

## Assessing progress in other organisations

62. Public bodies have a statutory duty to encourage equal opportunities. As part of this, Audit Scotland currently addresses equality issues in the bodies we audit in a number of ways. As part of the impact assessment process these approaches will be reviewed and any improvements identified.
63. The Local Government in Scotland Act 2003 introduced a statutory duty of Best Value and Community Planning on councils. The definition of Best Value includes the encouragement of both equal opportunities and the observance of the equal opportunities requirements as defined in the Scotland Act 1998.
64. Within Local Government, the following audit approaches encompass equality issues:
  - **Statutory Performance Indicators**
    - Audit Scotland (on behalf of the Accounts Commission) specifies statutory performance indicators (SPIs) which all councils, police forces and fire brigades must publish. There is a specific indicator relating to disability. Consultation remains ongoing to ensure that these measures remain relevant.





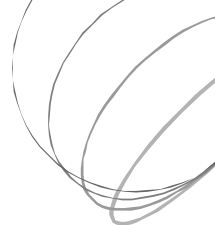
- **Public Reporting Studies**

- We explicitly consider equalities issues at the early scoping stages of every study, when a formal study brief is prepared. Every brief is then sent for comment to a range of stakeholders, including the main equalities bodies.
- We are also currently undertaking a study within the area of equalities, examining the impact of the race equality duty on local government service delivery. The study is due to be published in Winter 2007 and is expected to have findings that will be transferable to the other equality strands.

- **Best Value Audits**

- In 2004, we started a programme of Best Value Audits, which are designed to ensure that councils have made proper arrangements for Best Value and are complying with their Community Planning duties under the Local Government in Scotland Act 2003. All 32 councils will be audited over a 3 - 4 year period. Police and Fire authorities are also subject to Best Value audits.
- The Statutory Guidance on Best Value provides ten major criteria, one of which is equal opportunities arrangements. Councils self-assess their performance against all ten Best Value criteria and the audit process checks evidence in detail against a targeted selection of these. In some councils the audit takes an overview of equalities performance; in others a more detailed audit will be undertaken.

65. Public reporting studies are also used within the health and central government sectors. The health sector can also use staff governance audits to assess equality and diversity within health boards while draft guidance has been issued for the duty of Best Value to both sectors.

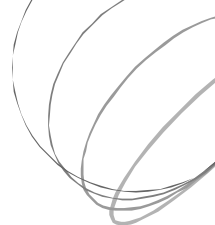


# Actions and Priorities

## Top ten actions

66. Below we set out our next ten key steps that we will undertake in the next six months.

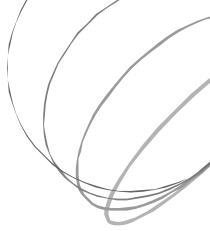
<b>TIMEFRAME</b>	<b>ACTION</b>
Within 1 month	Contact the disability involvement groups to publicise the scheme and set dates for meetings
Within 3 months	Set specific timeframes and actions for communication about the scheme and action plan
	Extend disability involvement group
	Tailor our impact assessment tool
	Extend involvement to include other equality strands
	Develop our priorities and programme of impact assessments
	Develop disability questions for the staff survey
From 3 months onwards	Continue roll-out of awareness and understanding approaches – staff training and Management Development Programme
Within 3 to 6 months	Start building up awareness and knowledge of Audit Scotland among the external involvement group
	Conduct an impact assessment pilot



## Top ten policies and activities for review

67. Below we set out the ten policies and activities assessed by our involvement group and the DEWG as being top priorities for impact assessment:

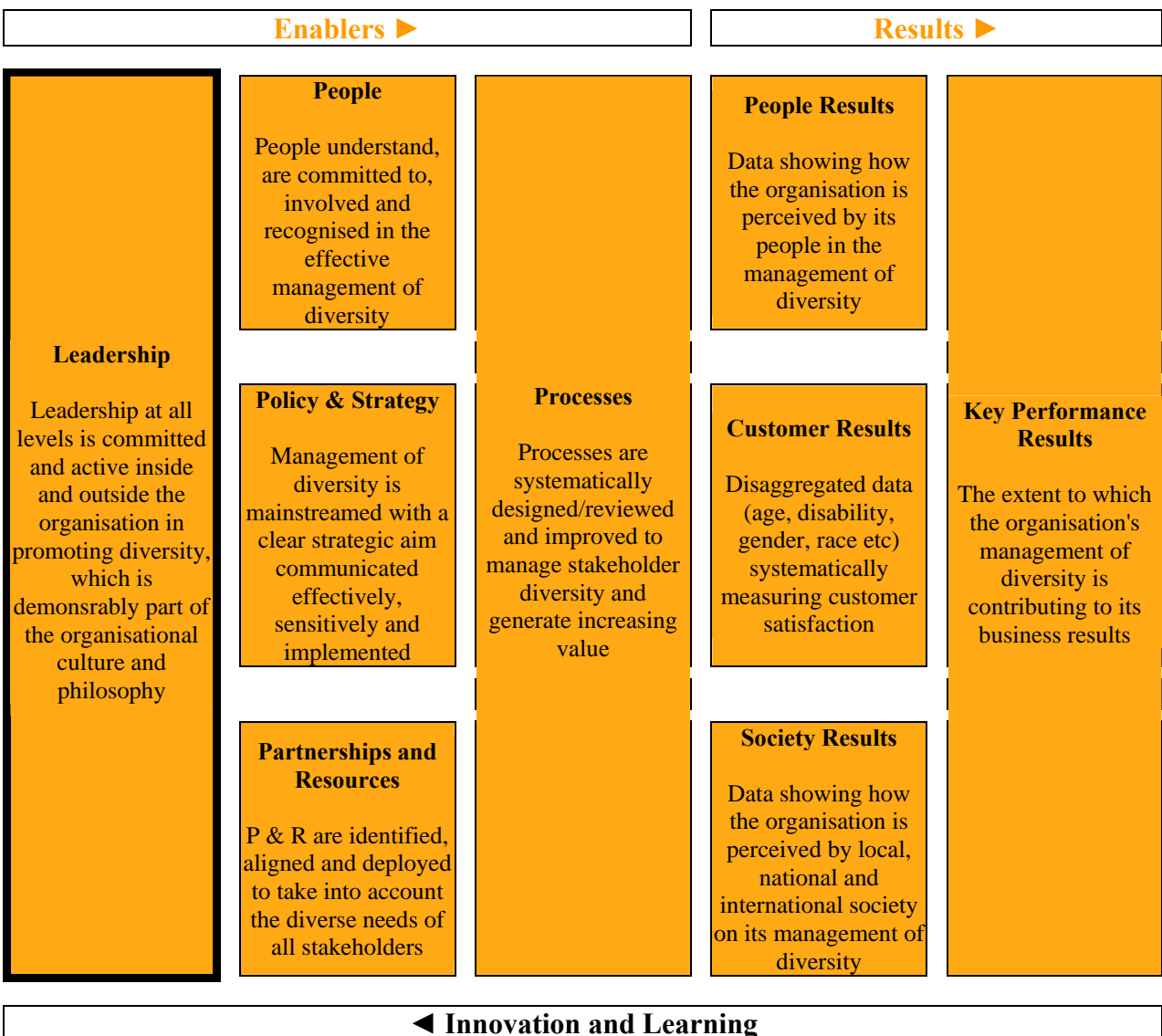
- Recruitment and selection
- Health and safety
- IT policy
- Estate management, including procurement
- External communications (reports, publications, website)
- Audit procurement
- Priorities and Risks Framework
- Statutory Performance Indicators (SPIs)
- Project Management Framework for public reporting studies
- Best Value Audit Risk Assessment process

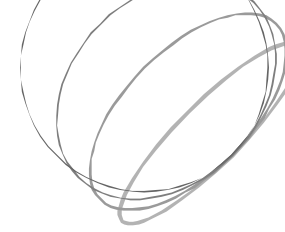


## Appendix 1 – Diversity Excellence Model

68. The DEM is designed to help organisations assess themselves and measure their progress in managing diversity. The model is structured around key processes and their impact within issues such as leadership, people, policy and strategy, business processes and key performance results. The DEM has been used by many public sector organisations including the former Inland Revenue, Ministry of Defence and Crown Prosecution Service.

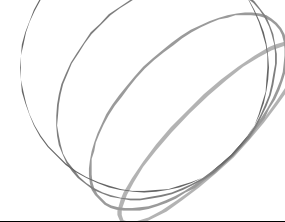
### The Diversity Excellence Model



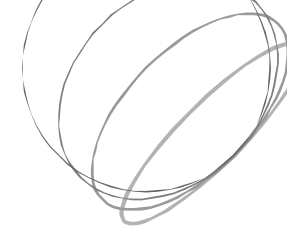


# Appendix 2 – Prioritising our internal policies and activities

	<b>SUBSTANTIAL IMPACT</b>	<b>SOME IMPACT</b>	<b>A LITTLE IMPACT</b>	<b>NO IMPACT</b>
<b>VERY IMPORTANT</b>	<ul style="list-style-type: none"> <li>▪ car leasing</li> <li>▪ flexible working</li> <li>▪ home working</li> <li>▪ occupational health service</li> <li>▪ recruitment and selection policy</li> <li>▪ sickness and absence</li> <li>▪ travel</li> <li>▪ meeting rooms</li> <li>▪ health and safety</li> <li>▪ H+S -audit accommodation</li> <li>▪ H+S - fire procedures</li> <li>▪ H+S - workplace health, safety and welfare</li> <li>▪ property issues (e.g. lift repairs)</li> <li>▪ estate management - procurement of offices</li> <li>▪ estate management - fabric of offices</li> <li>▪ estate management - fixtures and fittings</li> <li>▪ home/remote working</li> <li>▪ implementation of new technology</li> </ul>	<ul style="list-style-type: none"> <li>▪ H+S - working with VDUs</li> <li>▪ support desk/mayday</li> </ul>	<ul style="list-style-type: none"> <li>▪ maintaining network/infrastructure</li> </ul>	
<b>REASONABLY IMPORTANT</b>	<ul style="list-style-type: none"> <li>▪ flexi-time scheme</li> <li>▪ learning and development</li> <li>▪ bus tickets/taxis</li> <li>▪ car parking</li> </ul>	<ul style="list-style-type: none"> <li>▪ bullying and harassment</li> <li>▪ childcare vouchers</li> <li>▪ disciplinary and grievance</li> <li>▪ fixed term contracts</li> <li>▪ introduction and welcome to Audit Scotland</li> <li>▪ job evaluation process</li> </ul>	<ul style="list-style-type: none"> <li>▪ computer security</li> <li>▪ certification and testing</li> </ul>	<ul style="list-style-type: none"> <li>▪ pay</li> </ul>

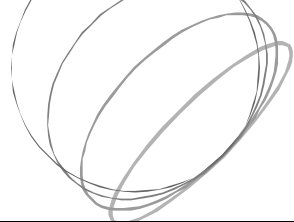


	<b>SUBSTANTIAL IMPACT</b>	<b>SOME IMPACT</b>	<b>A LITTLE IMPACT</b>	<b>NO IMPACT</b>
		<ul style="list-style-type: none"> <li>▪ mobiles/PDAs</li> <li>▪ PDS</li> <li>▪ PDS appeals</li> <li>▪ personal details</li> <li>▪ secondments</li> <li>▪ travel and expenses</li> <li>▪ environmental policy</li> <li>▪ H+S - manual handling</li> <li>▪ H+S - workplace inspections</li> <li>▪ Security</li> <li>▪ budget-setting</li> <li>▪ purchasing and licensing</li> <li>▪ intranet</li> <li>▪ IT training</li> <li>▪ data protection policy</li> </ul>		
<b>NOT VERY IMPORTANT</b>		<ul style="list-style-type: none"> <li>▪ adverse weather conditions</li> <li>▪ family friendly provisions</li> <li>▪ relocation policy</li> <li>▪ catering</li> <li>▪ abacus</li> <li>▪ daily news</li> </ul>	<ul style="list-style-type: none"> <li>▪ code of conduct</li> <li>▪ diversity statement</li> <li>▪ early retirement</li> <li>▪ emergency leave</li> <li>▪ working time</li> <li>▪ archiving</li> <li>▪ accident reporting</li> <li>▪ mail</li> <li>▪ leases and rates</li> <li>▪ insurance</li> <li>▪ valuations and appeals</li> <li>▪ time recording</li> <li>▪ approved software and hardware list</li> </ul>	<ul style="list-style-type: none"> <li>▪ charities and sponsorship</li> <li>▪ compassionate leave</li> <li>▪ counter-fraud policy</li> <li>▪ holiday</li> <li>▪ leaving your employment</li> <li>▪ other employment</li> <li>▪ personal property</li> <li>▪ season ticket policy</li> <li>▪ self-employed consultants</li> <li>▪ smoking</li> <li>▪ whistleblowing</li> <li>▪ disclosure for Scottish Executive/Scottish Parliament</li> <li>▪ stationery</li> <li>▪ invoicing</li> <li>▪ acceptable use (ICT) policy</li> </ul>



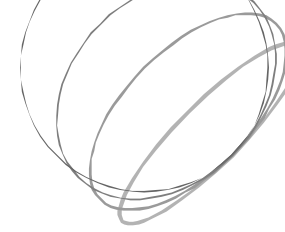
# Appendix 3 – Prioritising our external policies and activities

	<b>SUBSTANTIAL IMPACT</b>	<b>SOME IMPACT</b>	<b>A LITTLE IMPACT</b>	<b>NO IMPACT</b>
<b>VERY IMPORTANT</b>	Procurement of audit	Audit risk analysis and plan		Financial statements strategy
	Internet	Annual members report/local reports		Independent auditor's report
	Reports publication	Media enquiries/contacts		
	Public reporting - study scoping/project brief	Public reporting - forward work programme development		
	Public reporting - fieldwork - surveys	Public reporting - forward work programme consultation		
	Public reporting - reporting			
	Public reporting - Best Value methodology - risk assessment			
	Public reporting - Best Value methodology - reporting			
	Public reporting - SPIs	Public reporting - preparation of sector overview reports		
<b>REASONABLY IMPORTANT</b>	Audit accommodation	Priorities and Risk Framework		QCR
	Staying away at client sites	provision of technical guidance		
	Public reporting - engagement with external stakeholders	Press releases		
		Media interviews		
		Public reporting - fieldwork - interviews		
		Public reporting - external activities		
		Public reporting - procurement of external services		



<b>NOT VERY IMPORTANT</b>	Procedure for dealing with correspondence	Correspondence - publicising of procedure to public		
		Monitoring of correspondence		

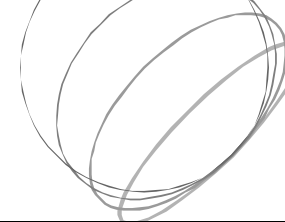




# Appendix 4 - Disability Equality Scheme Action Plan

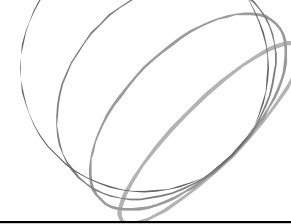
This Action Plan sets out the specific steps Audit Scotland will take in improving disability equality. The plan is structured to fit in with Audit Scotland's wider Diversity and Equality Action Plan.

<b>Leadership</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Ensure that leadership and management development programmes include training and development on disability equality.	<p>Need for leaders and senior managers at Audit Scotland to demonstrate high level commitment to and enthusiasm for disability equality and the diversity agenda.</p> <p>The internal involvement group identified a need for all managers to have training on disability.</p>	<ul style="list-style-type: none"><li>• Commitment moving beyond policy, into practice.</li><li>• Clear commitment from the top.</li><li>• Managers skilled and competent at articulating the equality and diversity issues in our work.</li><li>• Leaders ensure that staff are aware of diversity statement and policies.</li><li>• Leaders and senior managers are aware of the specific duties placed upon public sector organisations in relation to race, disability and gender equality and what this means for the organisation/their business units.</li><li>• Visible ownership of equality and diversity issues.</li></ul>	<p>Director of Corporate Services</p> <p>January 2007</p>

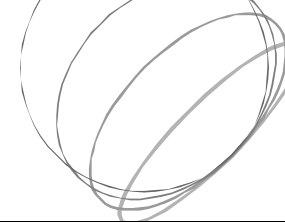


<b>Leadership</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Mainstream management of diversity into competency framework.	To ensure that everyone understands what behaviours are expected.	<ul style="list-style-type: none"> <li>Set clear expectations of behaviours against which performance can be measured.</li> </ul>	Director of Corporate Services 2007

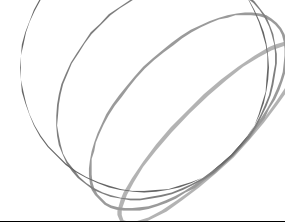
<b>People</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Expand membership of internal involvement group to include staff with a wider range of disabilities, and continue to work with the group to develop their programme of involvement	<p>Requirement of the DED to involve disabled people in progressing disability equality.</p> <p>Need to implement disability equality in the best way for disabled people.</p>	<ul style="list-style-type: none"> <li>An internal group that have a range of disabilities</li> <li>The group member's views and experiences strongly influence decisions and priorities.</li> </ul>	Director of Corporate Services Easter 2007 and on-going
Expand membership of the external involvement group, work with the group to build up their understanding of our work and develop their programme of involvement	<p>Requirement of the DED to involve disabled people in progressing disability equality.</p> <p>Need to implement disability equality in the best way for disabled people.</p> <p>Recognition that many people outside Audit Scotland do not fully understand the work we do.</p>	<ul style="list-style-type: none"> <li>An external group that have a range of disabilities</li> <li>The group will have an understanding of our work</li> <li>In the longer term, the group member's views and experiences strongly influence decisions and priorities.</li> </ul>	Director of Corporate Services Expand membership and begin capacity building work by Easter 2007. Full involvement by December 2007.



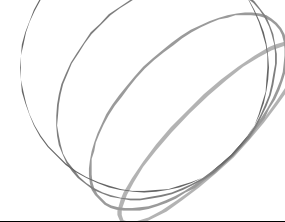
<b>People</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Include specific disability questions to include in our bi-ennial staff survey	Need to gather information on disabled staff in the organisation (e.g. percentage of staff with a disability) and performance information on disability (e.g. experiences and views of disabled and non-disabled staff).	<ul style="list-style-type: none"> <li>A continued high response rate of over 70%, which will allow us to draw robust conclusions from the survey results.</li> <li>A picture of our staff profile and our performance in relation to disability equality.</li> </ul>	Director of Corporate Services Easter 2007
Provide all staff with equality training	<p>Ensure that all staff who are not attending other courses are also up to date.</p> <p>For the other disability actions to have a positive impact, staff must understand why we are doing them.</p>	<ul style="list-style-type: none"> <li>Staff have an up to date understanding of disability equality and diversity and know how it affects them in their roles.</li> <li>Staff are trained to an appropriate level.</li> </ul>	Director of Corporate Services Develop training package by January 2007. Staff complete training by April 2007
Provide specific training and development for public contact staff on meeting diverse needs of the public.	Ensure our reception and administrative staff are aware of diverse needs that can arise and can anticipate those needs and respond appropriately.	<ul style="list-style-type: none"> <li>Visitors and callers are effectively welcomed to Audit Scotland and have their different needs met.</li> </ul>	Director of Corporate Services April 2007
<p>Review all corporate training to refresh and update diversity and equality elements.</p> <p>Ask external training providers to evidence their commitment to diversity and equality.</p>	<p>Need to ensure that training reflects disability equality duty and Audit Scotland's diversity work.</p> <p>Need to mainstream diversity considerations into our programmes.</p>	<ul style="list-style-type: none"> <li>Staff have an up-to-date understanding of disability equality and diversity issues and know how it affects them in their roles.</li> <li>Staff are aware of the Disability Equality Duty specifically.</li> </ul>	Director of Corporate Services Full review of HR run courses by Summer 2007 and on-going
Develop explicit processes for meeting diverse needs for meetings, including access, formats for information and communication, dietary requirements.,	Need consistent approach to ensuring that we meet diverse needs.	<ul style="list-style-type: none"> <li>People attending meetings are made to feel welcome and have their different needs met.</li> </ul>	Director of Corporate Services February 2007



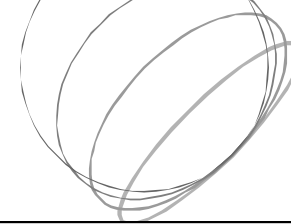
<b>Policy and strategy</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Mainstream diverse user requirements in IT policy.	<p>Ensure that specification for next replacement programme takes account of more diverse user needs and offers greater flexibility for those with different needs.</p> <p>Expand software and hardware purchasing policy to ensure future purchases are made with diverse user needs as a prime goal, with particular emphasis on usability for people with disabilities.</p> <p>Consult with appropriate third party organisations to ascertain appropriate standards for disabled access e.g. wheelchair access, braille keyboards, etc and include these standards in our policy.</p> <p>This will also be reviewed as part of the impact assessment programme.</p>	<ul style="list-style-type: none"><li>• Users have IT equipment suited to their own requirements.</li></ul>	Director of Corporate Services  Easter 2007
Develop intranet page with key policies in plain language and contact details for sources of expertise	Need quick and easy reference for staff to understand / check details of key diversity issues.	<ul style="list-style-type: none"><li>• Plain language description of policies available on intranet.</li></ul>	Director of Corporate Services  Summer 2007



<b>Policy and strategy</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Benchmark with other organisations.	This isn't yet done systematically.	<ul style="list-style-type: none"> <li>• Policy development takes account of practice in other organisations.</li> <li>• We have a central spreadsheet of contacts within other public sector bodies.</li> <li>• We are aware of what other organisations are doing in relation to disability equality and diversity.</li> <li>• We have good relationships with other public sector bodies and compare notes with them on diversity and equality-related issues.</li> </ul>	Director of Corporate Services December 2007
Review complaints policy / procedure for accessibility.	Improve public awareness of who deals with complaints and how to go about making a complaint	<ul style="list-style-type: none"> <li>• Complaints policy reviewed and any recommendations acted upon.</li> </ul>	Director of Corporate Services Summer 2007
Complete pilot impact assessment, finalise full programme of impact assessments and train staff and stakeholders who will be involved in assessments (including members of DEWG and the involvement groups)	<p>Impact assessments needed for all relevant policies and activities over the next three years, starting with the highest priority ones identified with the internal involvement group.</p> <p>Pilot assessment to help tailor the assessment tool to suit our needs and identify a realistic level of resources to complete the programme.</p> <p>Training to ensure a systematic and consistent approach to impact assessments.</p>	<ul style="list-style-type: none"> <li>• A tailored impact assessment tool that meets our needs</li> <li>• A 3-year programme of impact assessments based on priorities</li> <li>• A team of staff who understand feel equipped to undertake impact assessments</li> </ul>	Director of Corporate Services Easter 2007

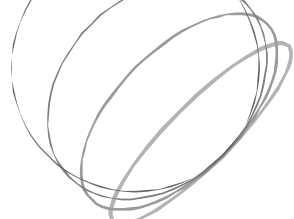


<b>Policy and strategy</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Investigate and set out methods for assessing whether the outcomes have been achieved for each action in the action plan and what the impact is on disabled people.	To assess progress on the action plan, outcomes have been identified but mechanisms must be put in place to evidence whether these have been achieved and what impact they have had	<ul style="list-style-type: none"> <li>A method identified for measuring each action outcome and assessing its impact</li> </ul>	Director of Corporate Services Summer 2007
The DEWG group to review progress on the action plan every six months.	Progress on the action plan must be monitored and reviewed.	<ul style="list-style-type: none"> <li>A minuted assessment of progress on the action plan</li> </ul>	Director of Corporate Services First review by Summer 2007
The involvement groups to review progress on the action plan every six months.	The DED requires disabled people to be involved in monitoring and reviewing the action plan	<ul style="list-style-type: none"> <li>A minuted assessment of progress on the action plan</li> </ul>	Director of Corporate Services First review by Summer 2007
Produce an annual review of progress on the disability equality scheme and a revised action plan.	Requirement of the DED and a means of reporting progress to all interested parties.	<ul style="list-style-type: none"> <li>A formal, annual assessment of progress and a revised action plan, approved by MT</li> </ul>	Director of Corporate Services First review early 2008
Formally review the Disability Equality Scheme after 3 years and publish an updated scheme and action plan	Requirement of the DED and a means of keeping the scheme up-to-date and relevant.	<ul style="list-style-type: none"> <li>A formal review of the scheme by the DEWG, the involvement groups and other involved parties</li> <li>An updated scheme published by December 2009</li> </ul>	Director of Corporate Services December 2009
Repeat the Diversity Excellence Model Assessment to measure overall improvement	The DEM is designed to be used regularly to evidence improvements in a systematic and consistent way	<ul style="list-style-type: none"> <li>A report on the results of a second DEM assessment</li> </ul>	Director of Corporate Services TBA



<b>Partnerships and resources</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Proactively assess equipment needs and procure appropriate equipment.	<p>IT and office services to ensure that diverse needs can be catered for.</p> <p>Consultation process with staff to evaluate hardware purchases.</p> <p>Wherever practicable a selection of products of varying sizes, weights and interfaces will be made available to staff, as required for their needs.</p>	<ul style="list-style-type: none"> <li>Staff are involved in consultation to evaluate new purchases of equipment.</li> <li>Users have equipment that meets their individual needs.</li> </ul>	<p>Director of Corporate Services</p> <p>ongoing, starting immediately</p>
Create central budget for workplace adaptations.	Ensure that adaptations can be resourced centrally and are not dependent on local budgets.	<ul style="list-style-type: none"> <li>Adequate budget created.</li> </ul>	<p>Director of Corporate Services</p> <p>Easter 2007</p>
Building access audits to be completed and used.	Office services have started this work.	<ul style="list-style-type: none"> <li>Completed building audits available and key actions addressed where possible</li> </ul>	<p>Director of Corporate Services</p> <p>Easter 2007</p>
Introduce equality and diversity clause in procurement contracts.	<p>Revised procurement guidance approved by MT in February does this.</p> <p>This will also be reviewed as part of the impact assessment programme.</p>	<ul style="list-style-type: none"> <li>Staff involved in procurement use the guidance</li> <li>All contracts contain appropriate clauses</li> </ul>	<p>Director of Corporate Services Directors of Audit Strategy, Audit Services and Public Reporting</p> <p>Easter 2007</p>

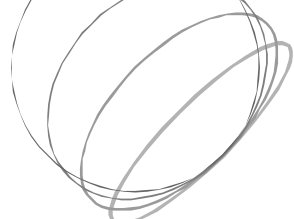
<b>Processes</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Improved communication and awareness about how to access training.	Learning and development strategy sets this out.	<ul style="list-style-type: none"> <li>Learning and development strategy available to all staff.</li> </ul>	<p>Director of Corporate Services</p> <p>February 2007</p>



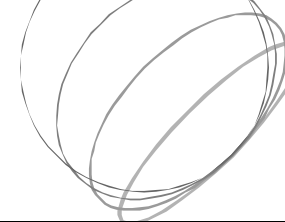
Examine whether the diversity questions asked of applicants by the recruitment agency provide us with enough information to monitor and assess recruitment.	The DED requires us to gather information on the recruitment of disabled people to Audit Scotland.	<ul style="list-style-type: none"> <li>A robust picture of recruitment of disabled people to Audit Scotland.</li> </ul>	Director of Corporate Services February 2007
Review all communication processes for inclusivity.	<p>Ensure communication strategy recognises different needs of diverse audiences.</p> <p>This will also be reviewed as part of the impact assessment programme.</p>	<ul style="list-style-type: none"> <li>A completed review and any recommendations implemented.</li> </ul>	Director of Corporate Services Easter 2007
Ensure quality framework mainstreams diversity.	Review quality framework.	<ul style="list-style-type: none"> <li>A completed review and any recommendations implemented.</li> </ul>	Director of Corporate Services Easter 2007

<b>People results</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
Extend our routine monitoring beyond race and gender to include disability and age	Ensure that we have appropriate methods for collecting information that will be valuable in monitoring.	<ul style="list-style-type: none"> <li>Routine monitoring extends beyond gender and race and meets requirements under the public sector duties (race, disability and gender).</li> <li>Disability information on Audit Scotland staff is exists accessible and can be produced for reporting purposes</li> </ul>	Director of Corporate Services Easter 2007
Explore revising current leaver form system to include questions around disability.	Could provide information on Audit Scotland's culture.	<ul style="list-style-type: none"> <li>Decision on the best approach.</li> </ul>	Director of Corporate Services Easter 2007





<p>Analyse media placements by various equality strands and look at our options for advertising to ensure we reach as wide an audience as possible.</p>	<p>To ensure we have evidence behind our policy to advertise as widely as possible and to ensure we are reaching as wide an audience as possible.</p> <p>This will also be reviewed as part of the impact assessment programme.</p>	<ul style="list-style-type: none"><li>• Information is analysed on past vacancies (media choice by age, gender, disability, religion, etc).</li></ul>	<p>Director of Corporate Services</p> <p>February 2007</p>
<p>Consider options for alternative formats of application packs (e.g. large print, cassette, etc) during the recruitment process.</p>	<p>To ensure we do not discriminate against people with certain disabilities in our recruitment process.</p> <p>This will also be reviewed as part of the impact assessment programme.</p>	<ul style="list-style-type: none"><li>• We can readily provide application packs in alternative formats, if required.</li></ul>	<p>Director of Corporate Services</p> <p>February 2007</p>



<b>Customer results</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
<p>Complete planned programme of impact assessments and report on results of assessments annually.</p> <p>This will include the top ten policies / activities identified by the involvement groups:</p> <ol style="list-style-type: none"> <li>1. Recruitment and selection</li> <li>2. Health and safety</li> <li>3. IT policy</li> <li>4. Estate management, including procurement</li> <li>5. External communications (reports, publications, website)</li> <li>6. Audit procurement</li> <li>7. Priorities and Risks Framework</li> <li>8. Statutory Performance Indicators (SPIs)</li> <li>9. Project Management Framework for public reporting studies</li> <li>10. Best Value Audit risk assessments</li> </ol>	<p>Impact assessments needed for all relevant policies and activities over the next three years, starting with the highest priority ones identified with the internal involvement group.</p>	<ul style="list-style-type: none"> <li>• A formal, annual report giving the results of impact assessments undertaken in the previous year, and actions taken or planned as a result</li> </ul>	<p>Director of Corporate Services</p> <p>First report early 2008</p> <p>1 – 4 Director of Corporate Services 6 Director of Audit Strategy 7 Directors of Audit Services 8 – 10 Directors of Public Reporting</p>
<p>Extend QCR process to include diversity.</p>	<p>Ensure that approaches to diversity are reviewed within existing mechanisms for quality review.</p>	<ul style="list-style-type: none"> <li>• A completed review and recommendations implemented.</li> </ul>	<p>Director of Audit Strategy</p> <p>Summer 2007</p>

<b>Society results</b>			
<b>Action</b>	<b>Explanation</b>	<b>Outcome</b>	<b>Responsibility and timescale</b>
<p>Ensure that diversity is covered in our memoranda of understanding with other inspection and regulation bodies.</p>	<p>Clarify our expectations.</p>	<ul style="list-style-type: none"> <li>• A completed review and recommendations implemented</li> </ul>	<p>Director of Corporate Services</p> <p>December 2007</p>

