

Annual Diversity Monitoring Report

January – December 2005

Introduction

1. Audit Scotland is committed to creating a working environment that promotes diversity, values individuals and is free from any form of discrimination, bullying or harassment.
2. This monitoring report provides a means of checking whether discrimination is evident in our employment practices, and whether key elements of our equal opportunities policy are being implemented effectively.

Background

3. Audit Scotland has a specific duty under the Race Relations (Amendment) Act 2000 to promote racial equality in employment. As part of that duty we must monitor the following by racial group:
 - staff in post
 - applicants for jobs, promotion and training.
4. As we employ more than 150 people we must also monitor and analyse by racial group:
 - grievances
 - disciplinary action
 - performance appraisal
 - number of staff who receive training
 - number of staff leaving.
5. Our first monitoring report was produced in December 2003 and covered ethnicity information. In 2004 we introduced gender information. Next year we will include information on disability.
6. The Diversity and Equality Working Group¹ is considering our future monitoring requirements in the light of forthcoming legislation. We may also extend the content of this report in future years to include information on, for example, age, sexual orientation, religion or belief.
7. This report covers the period from January to December 2005. However, it also includes the winter recruitment campaign for 2004 as this was not included in last year's report.

¹ An internal Audit Scotland group with representatives from across the organisation. It informs and monitors our approach to equality and diversity.

8. Our 2004 report compared Audit Scotland's employee profile with that of Scotland's working population, i.e. those in employment. Audit Scotland should aim to be representative of the whole working age population of Scotland (not only those in employment). Therefore, this report (and subsequent reports) will compare Audit Scotland's profile with both those in employment and the working age population of Scotland.

Staff Profile

9. This section provides information in relation to the ethnicity and gender profile of Audit Scotland employees in December 2005.

Ethnicity profile

10. Exhibit 1 shows the ethnicity profile² of Audit Scotland across three years (2003—2005). It also provides comparative Annual Population Survey data on the population of Scotland and those in employment (January 2006).

Exhibit 1 Ethnicity profile of Audit Scotland staff

Ethnicity	Audit Scotland staff			Working age population in Scotland (Winter 2004/05) (%)	People in employment in Scotland (Winter 2004/05) (%)
	Baseline 2003 (%)	December 2004 (%)	December 2005 (%)		
White	97.6	98.5	97.6	97.6	98.3
Minority ethnic	2.4	1.5	2.4	2.4	1.7

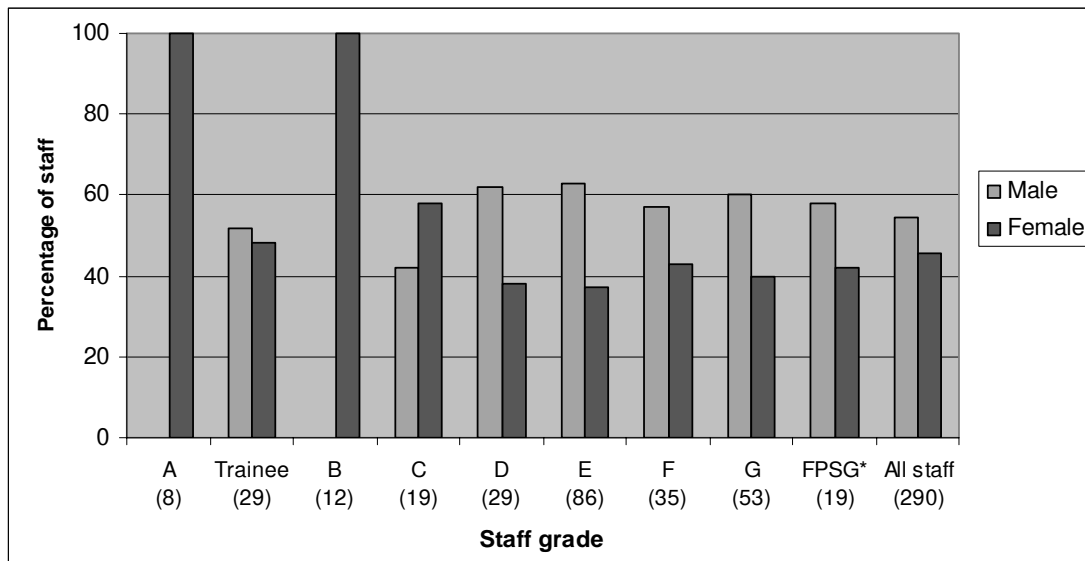
Source: Audit Scotland & Annual Population Survey April 2004 – March 2005, ONS

Gender profile

11. Audit Scotland had 290 employees in December 2005. Exhibit 2 shows the percentage of males and females employed within each grade. Full figures are detailed in Appendix 2.

² see Appendix 1 for Audit Scotland ethnic monitoring categories.

Exhibit 2 Gender profile of Audit Scotland staff by grade



Note: figures in brackets show the total number staff in each grade.

Gender	Audit Scotland staff grade – number of staff									
	A	Trainee	B	C	D	E	F	G	FPSG*	All staff
Male	0	15	0	8	18	54	20	32	11	158
Female	8	14	12	11	11	32	15	21	8	132

* Fixed Point Salary Grade

Source: Audit Scotland

12. In total, there are more male staff than female staff. There are significantly more males in the more senior posts (D to G and fixed point salary grades) and fewer in grades A, B and C. However, the numbers of male and female trainees, who move on to posts at grade D upwards, are almost equal. Audit Scotland's overall gender profile of 54% males and 46% females compares to Scotland's working age population of 51% males and 49% females.

Recruitment

13. Audit Scotland's recruitment and selection process is designed to be fair and robust. Individuals are assessed on the competencies required to carry out the role effectively.

14. The Recruitment and Selection Policy at Audit Scotland was revised during 2005. In certain limited circumstances a Director can make a business case not to advertise a vacancy.
15. During 2005 we advertised vacancies in the press six times and appointed 46 people through external advertising. In addition, three cases were approved for making an appointment without external advertising. The decision not to advertise externally is based on a number of criteria, including cost, operational advantages and whether it is justifiable on the basis of our commitment to equal opportunity and diversity.
16. An analysis is provided below (Exhibit 3) of applications for externally advertised vacancies during 2005 by number of applications, number short-listed and number appointed. Full figures for each campaign are detailed in Appendix 3.

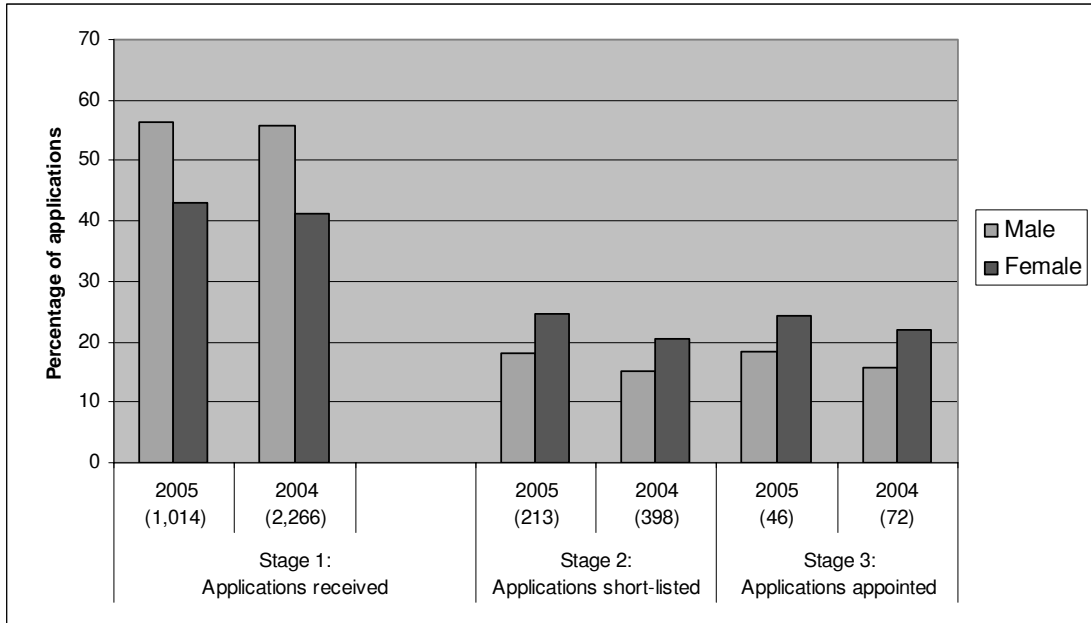
Exhibit 3 Staff recruitment 2005 (including winter 2004 campaign)

Ethnicity	Stage 1: Applications received		Stage 2: Applications short-listed		Stage 3: Applications appointed	
	No.	%	No.	%	No.	%
White	953	94.0	202	94.8	43	93.5
Minority ethnic	53	5.2	11	5.2	3	6.5
No information provided	8	0.8	0	-	0	-
Gender	No.	%	No.	%	No.	%
Male	572	56.4	103	48.4	19	41.3
Female	435	42.9	107	50.2	26	56.5
No information provided	7	0.7	3	1.4	1	2.2

Source: Audit Scotland

17. The proportions of white and minority ethnic applicants remain relatively constant across all three stages. The percentage of male applicants reduces at each stage.
18. During 2005, we received more applications from males than females (572 males, 435 females). However fewer males than females were short-listed and even fewer were subsequently appointed. The pattern was similar in 2004, as illustrated in Exhibit 4 below.

Exhibit 4 Recruitment comparisons by gender 2004 - 2005



Source: Audit Scotland

19. In 2005 19 males were appointed from 572 applications (3.3%), while 26 females were appointed from 435 applications (6.0%). In 2004 the percentage of males appointed was 2.4% and females 4.5%. We are currently analysing the gender balance of applications and appointments for different types of post, to help us understand better why there is such variation. It may be, for example, that there are many more applicants at stage 1 for posts that attract a high proportion of males. We will report our findings in next year's monitoring report.

20. It should be noted that every effort is taken to remove personal information from applications, e.g. anything relating to gender, ethnicity, marital status, etc, to reduce the scope for discrimination at the short-listing stage.

Promotion

21. There were 23 promotions within Audit Scotland during 2005. All were for white employees - 48% (11) were for males, and 52% (12) for females.

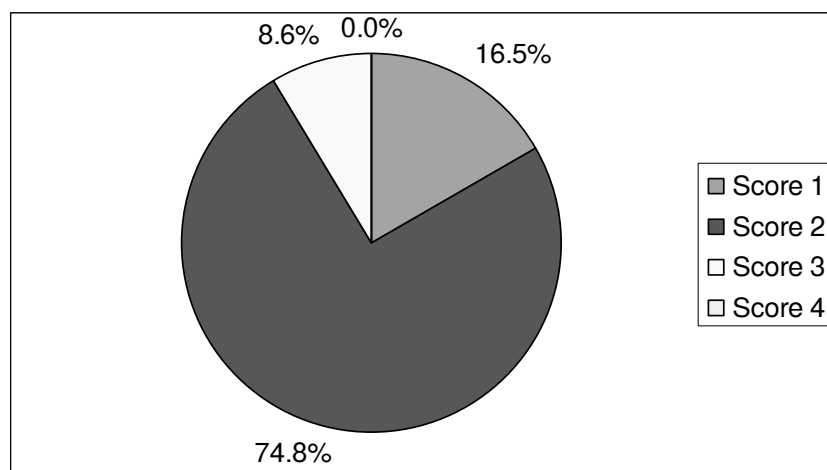
Disciplinary Action and Grievances

22. There were fewer than five disciplinary and grievance cases in 2005. It was agreed by the Diversity and Equality Working Group that where the number of cases was less than five there would be no specific reporting for confidentiality reasons.
23. Internal monitoring is carried out by Human Resources. Analysis of formal disciplinary and grievance cases does not show any disproportionate bias in terms of gender or ethnicity.

Performance Appraisal

24. This is the first year that figures in relation to our Performance Development Scheme (PDS) have been provided. An individual's performance is assessed annually against the core competencies for their role at a formal PDS review meeting. Performance is scored using a 1-4 scale with 1 being superior performance and 4 indicating that urgent improvement is required.
25. As at December 2005, 244 employees had completed a PDS review (84% of all staff). Of these, 139 (57%) were scored³. These are shown in Exhibit 5. Exhibit 6 shows the PDS scores for Audit Scotland staff by gender.

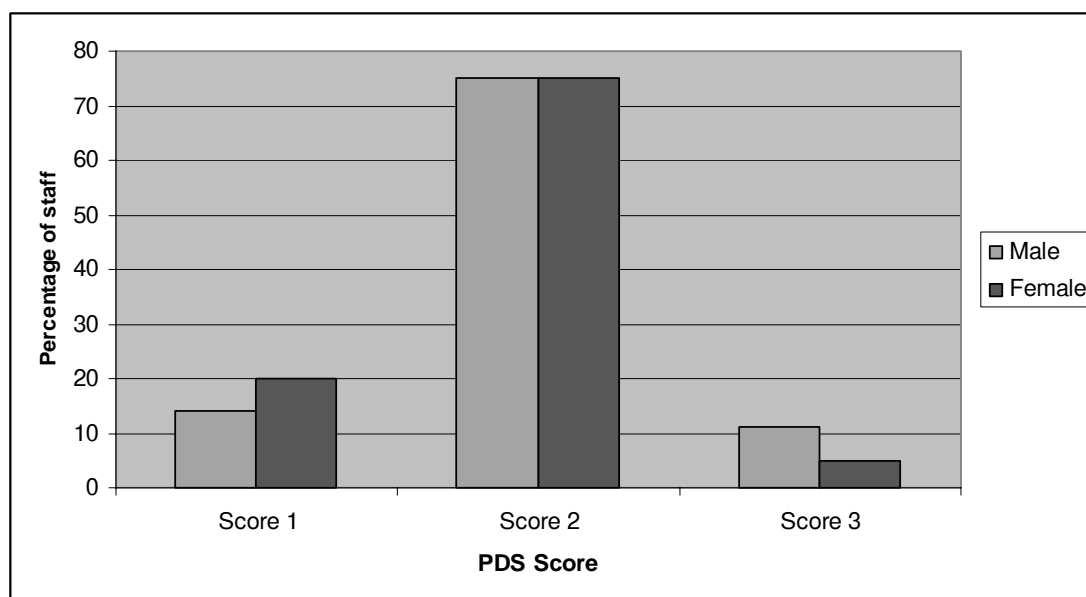
Exhibit 5 PDS performance scores



Source: Audit Scotland

³ It is usual that only the second and subsequent PDS reviews generate performance scores. The first review is used only to set future objectives and identify training and development needs.

Exhibit 6 PDS performance scores by gender



Ethnicity	Males		Females		Total	
	No.	%*	No.	%*	No.	%*
Score 1	12	14	11	20	23	17
Score 2	62	75	42	75	104	75

* Percentages do not add up to 100% because the numbers of employees with a score of 3 are too small to report.

Source: Audit Scotland

26. No breakdown of PDS scores for white and minority ethnic staff is given due to small numbers. Human Resources will monitor this area to ascertain if discrimination is evident.
27. 46 employees had not yet received their first formal PDS review (16% of all staff). Of those who had not received a PDS review, 18 (39%) are male and 28 (61%) are female. All 46 are white.

Training

28. Human Resources keep a record of training undertaken by Audit Scotland staff. This shows that in 2005:
 - 175 training events were undertaken across 103 different training areas

- 277 staff have received some form of formal training (this represents 95% of total staff). This number includes all of Audit Scotland's minority ethnic employees
- 126 females (95% of female staff) and 151 males (96% of male staff) received training.

29. This shows no significant differences across ethnicity and gender.

Staff Leaving

30. During 2005, eight people resigned from the organisation (permanent contracts). This compares with 17 in 2004 (Exhibit 7).

Exhibit 7 Staff leaving Audit Scotland

	2005		2004	
Ethnicity	No.	%	No.	%
White	8	100	16	94
Minority ethnic	0	0	1	6
Gender	No.	%	No.	%
Male	3	38	11	65
Female	5	62	6	35

Source: Audit Scotland

31. Due to the small number of people leaving each year, it is difficult to draw conclusions from the numbers alone. However, 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. Human Resources assess responses and will report on any issues raised around equality of opportunity and diversity.
32. Audit Scotland's Diversity and Equality Working Group will use the information in this report to assist them with their forward work plan. The group will meet during the first quarter of 2006 to discuss future monitoring requirements.

Appendix 1: Audit Scotland ethnicity monitoring categories

WHITE UK

WHITE OTHER

BLACK African

BLACK Caribbean

BLACK Other

ASIAN Indian

ASIAN Pakistani

ASIAN Bangladeshi

ASIAN Chinese

ASIAN Other

MIXED

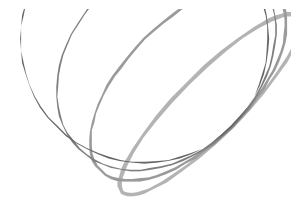
OTHER

Appendix 2: Audit Scotland gender profile by grade

Gender	Audit Scotland staff grade – number of staff										
	A	Trainee	B	C	D	E	F	G	FPS G*	All staff	
Male	0	15	0	8	18	54	20	32	11	158	
Female	8	14	12	11	11	32	15	21	8	132	
Gender	Audit Scotland staff grade – percentage of staff										Working age population in Scotland (Winter 2004/05) (%)
	A	Trainee	B	C	D	E	F	G	FP SG*	All staff	
Male	0	52	0	42	62	63	57	60	58	54	51
Female	100	48	100	58	38	37	43	40	42	46	49

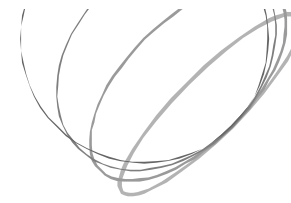
* Fixed Point Salary Grade

Source: Audit Scotland & Annual Population Survey April 2004 – March 2005, ONS

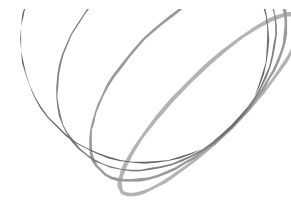


**Appendix 3:
Number of applications received, short-listed and appointed**

APPLICATIONS RECEIVED (with diversity forms)							
Campaign	Ethnicity			Gender			Total
	White	Minority ethnic	No information provided	Male	Female	No information provided	
	November 2004 (composite)	152	21	1	89	85	
January 2005 (Performance Auditors)	431	15	1	244	203	0	447
January 2005 (composite)	118	8	1	102	24	1	127
March 2005 (Administrative Officers)	26	4	0	15	15	0	30
April 2005 (composite)	114	3	3	63	53	4	120
June 2005 (Communications Officers)	52	0	2	26	26	2	54
September 2005 (composite)	60	2	0	33	29	0	62
Total no. of applications received	953	53	8	572	435	7	1014
Percentage of applications received	94.0	5.2	0.8	56.4	42.9	0.7	



APPLICATIONS SHORT-LISTED							
Campaign	Ethnicity			Gender			Total
	White	Minority ethnic	No information provided	Male	Female	No information provided	
November 2004 (composite)	69	5	0	39	35	0	74
January 2005 (Performance Auditors)	39	1	0	11	29	0	40
January 2005 (composite)	31	1	0	22	10	0	32
March 2005 (Administrative Officers)	5	1	0	1	5	0	6
April 2005 (composite)	28	0	0	13	13	2	28
June 2005 (Communications Officers)	13	1	0	5	8	1	14
September 2005 (composite)	17	2	0	12	7	0	19
Total no. of applications short-listed	202	11	0	103	107	3	213
Percentage of applications short-listed	94.8	5.2	0.0	48.4	50.2	1.4	



APPLICANTS APPOINTED							
Campaign	Ethnicity			Gender			Total
	White	Minority ethnic	No information provided	Male	Female	No information provided	
	November 2004 (composite)	16	3	0	7	12	
January 2005 (Performance Auditors)	8	0	0	1	7	0	8
January 2005 (composite)	6	0	0	6	0	0	6
March 2005 (Administrative Officers)	1	0	0	0	1	0	1
April 2005 (composite)	7	0	0	3	4	0	7
June 2005 (Communications Officers)	2	0	0	2	0	0	2
September 2005 (composite)	3	0	0	0	2	1	3
Total no. of applicants appointed	43	3	0	19	26	1	46
Percentage of applicants appointed	93.5	6.5	0	41.3	56.5	2.2	