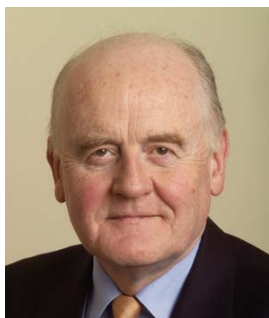


Audit Scotland

Race Equality Scheme: 2007 – 2010

Introduction by the Auditor General



Audit Scotland is committed to valuing and promoting race equality and good relations between people of different racial groups. Improving race equality is not only something we must do because of law, it is something we must do because it is right. We are striving towards taking a leading role in promoting equal opportunities practices and diversity both as an employer and as a deliverer of services to the Auditor General for Scotland and the Accounts Commission. The production of this Scheme and the actions contained within, and also our ongoing work in the other equality strands, will help us do this.

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:
 - 67 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.

Audit Scotland's previous Race Equality Scheme

4. Audit Scotland's first Race Equality Scheme was published in 2002. It was reviewed in 2005 and a revised list of policies and functions was published. The 2005 review occurred alongside the

introduction of the Diversity Excellence Model (DEM), which we adopted to support the mainstreaming of diversity and equality. This work also informed our action plan for diversity and equality. We planned to develop a single scheme covering all equalities strands (i.e. race, gender & disability etc.). Having published the Disability Equality Scheme in December 2006 and the Gender Equality Scheme in June 2007¹ Audit Scotland has taken the view that it would publish a completely revised and updated Race Equality Scheme. These three schemes will form the foundation upon which Audit Scotland's single equalities scheme will be built.

5. Appendix 5 contains details of the action plan from the original 2002 scheme. Within appendix 5 is a list of the outcomes from that first scheme.

The Race Equality Duty

6. The Race Relations Act (RRA) 1976 (as amended by the Race Relations Amendment Act of 2000) places a duty on all public sector authorities to promote racial equality. This duty means we must be proactive in ensuring that people of all racial groups are treated fairly. The Race Equality Duty (RED) is about promoting racial equality and embedding equality for all into our culture in practical and demonstrable ways. 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:
 - Eliminate discrimination that is unlawful under the Act
 - Promote equality of opportunity between people of all racial groups
 - Promote good relations between people of different racial groups.
7. The specific duty requires Audit Scotland to create a race equality scheme and action plan.
8. The duty aims to make the promotion of race equality central to the way that public authorities work. It is designed to achieve a variety of benefits going forward, including:
 - Encourage policy makers to be more aware of possible problems and the need for improvement
 - Contribute to more informed decision making
 - Make sure that policies are properly targeted
 - Improve the delivery of suitable and accessible services that meet varied needs
 - Encourage greater openness about policy-making

¹ The guidance relating to the Gender Equality Specific Duties was available later in Scotland than that applicable to public bodies in England. This resulted in the Gender Equality Scheme being published later than we had originally anticipated – see *Equality Exchange Newsletter* (December 2006) published by Philippa Bonella, Director of Policy EOC Scotland.

- Increase confidence in public services, especially among ethnic minority communities
 - Help to develop good practice
9. The duty also aims to make the promotion of race equality central to the employment of staff and will:
- Help make Audit Scotland's workforce more representative of the communities it serves
 - Attract able staff from all ethnic backgrounds
 - Avoid losing or undervaluing able staff
 - Improve staff morale and productivity
 - Improve the way staff are managed
 - Help develop good practice; and
 - Help avoid claims of unlawful racial discrimination.

Race and the other equality strands

10. 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 race equality and good relations from different racial groups, and equality and diversity more widely, both as an employer, and as a provider of services to the Auditor General for Scotland and the Accounts Commission.
11. In 2005 we introduced the DEM, a robust tool for assessing and developing the way in which we manage diversity in Audit Scotland (see Appendix 1). We trained 19 staff as DEM assessors, which resulted in a diversity and equality action plan to mainstream diversity and equality. This work shaped and informed the production of our new equality schemes for race, disability and gender.
12. Now that we have schemes for each equality strand, we will work towards one integrated equality scheme in the future. In working to design and implement an integrated scheme, we will ensure that the specific individual requirements of each equality strand (gender, race, disability and other equality strands) are addressed.

Leading and co-ordinating our approach to the Race Equality Duty

13. The Auditor General for Scotland is the Accountable Officer and has overall responsibility for our Race 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).

14. 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 others involved in monitoring and reviewing our scheme is provided later.
15. 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. In 2007 all staff will also be required to complete training on diversity and equality to supplement the introduction provided in our induction programme and Code of Conduct (which all staff sign annually).

Policies and activities

16. The way in which we develop policies and conduct our activities has evolved since the publication of our first RES in 2002 and we recognise that if we are to improve race equality and good relations between different racial groups then we must ensure that:
 - Our policies and activities do not discriminate against people of different racial groups; and
 - Consideration of race equality is fully embedded within the way we develop policies and the way we carry out activities.
17. The steps set out in the rest of the scheme are the means by which we aim to get there.
18. Our key functions remain unchanged since our first RES, and 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 people

19. At the heart of the RED specific duty is the requirement to consult people in producing the Race Equality Scheme and updated action plan. We recognise that to really promote race equality and eradicate discrimination then staff and stakeholders have to be involved in not only identifying potential discrimination and areas for improvement 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.
20. To maximise the benefit from involvement and to make sure that people have the opportunity to contribute fully, we are approaching involvement in two ways – involvement of staff to look primarily at our internal policies and activities, but also our external-facing work. However, although our existing staff possess expert knowledge concerning the services, functions and policies of Audit Scotland the staff, from which the group will be drawn, are not sufficiently representative of the different ethnic groups in Scotland. An additional team of external representatives from groups representing ethnic communities, will be involved to help ensure a balance of input is achieved.
21. We are aiming to involve people with a range of different backgrounds and will attempt to involve as many people as is practicable. We will continue to work towards extending involvement. This will allow us to examine whether our policies, procedures and practices truly support people of different racial groups and check for both direct and indirect discrimination.
22. The senior management of Audit Scotland have supported this work through the allocation of resources. In addition, they have stressed the importance of this work and their commitment to the RED through staff communications.
23. We have involved a group of staff in creating this latest scheme and to help identify solutions and monitor and review the scheme and action plan.
24. A small group of staff carried out the latest assessment of our internal and external policies, functions and activities to establish which should be prioritised for impact assessments. We will further establish a wider group of representative individuals (see paragraphs 21 & 22) which will be tasked with helping to check and assess:
 - each internal and external policy and activity to identify potential and actual discrimination
 - the potential impact of each policy and activity on staff of different racial groups
 - the relative importance of each policy and activity.

25. From this, further priorities for impact assessment will be identified. This is discussed in more detail in the following section. Members of the group will also be involved in carrying out an assessment of our outward-facing policies and activities.

Taking involvement further

26. This group will have 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. Staff group members will be given express permission by senior management to spend time on this work.

Assessing the impact of policies and activities

28. 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 people of different racial groups, and to identify where we can better promote equality of opportunity.
29. To fully assess all aspects of our work we are committed to undertaking an ongoing impact assessment of our policies and activities.
30. 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 are aware that there is a risk in such an approach because there may be a potential for race 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. race, to take place if there are particular high priority issues. The DEWG has agreed to adopt the Scottish Executive's Impact Assessment Tool (the draft toolkit initially being available from 2005). We will seek input from our internal involvement group to help tailor the Tool to our needs and circumstances.
31. As discussed in the previous section, a small group of staff were involved in the initial assessment of our internal and external policies, functions and activities. They rated each area for impact on people (on the basis of race) and importance in relation to our other policies and activities. The scale used for impact was – no impact, a little impact, some impact, and substantial impact. 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 race equality priorities for impact assessment (see appendix 2 & 3).
32. These priorities will be placed alongside the priorities for the other equality strands to determine the final priorities for impact assessment.
33. 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 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; other stakeholders affected by the policy/activity and potential participants from other equality strands.

34. The impact assessment process will span the length of this scheme. We will finalise a programme of impact assessments during 2007 using the Scottish Executive framework.

Mapping our performance

35. Audit Scotland has for some time systematically collected information on race from its staff. Audit Scotland has undertaken annual monitoring of race equality since 2002. This includes monitoring of equality in key areas such as recruitment, remuneration, learning & development, performance management and grievances. Outcomes are reported and shared with the DEWG, SMT, union representatives and staff. Each report is published on our external web site. Any data which suggests unequal treatment between people of different racial groups is examined in further detail leading to corrective action, where necessary. This work has helped to inform our initial list of priorities and action plan for the scheme.
36. By expanding our information-gathering and staff involvement arrangements to cross check for indirect or less obvious evidence of discrimination we will be able to improve our action plan to promote race equality.

Recruitment

37. When applicants apply to Audit Scotland, information on race and ethnicity 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. Personal data is not available to managers until the later stages of selection, when candidates are met in person.

Staff development and retention

38. Using the ethnicity information Audit Scotland gathers at recruitment we undertake a review of race equality concerning staff development and retention. This forms part of the work of the annual equality and monitoring report.
39. Information relating to staff performance management (i.e. annual appraisal, forward planning of objectives, access to learning & development, disciplinary and grievance cases) is collected by Audit Scotland and used as part of this report.
40. By mid 2007, all senior managers will have undertaken 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 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.

41. Audit Scotland conducts a bi-ennial staff survey which is undertaken by an external agency with individual responses remaining anonymous and confidential. In 2005 it had a response rate of 78 per cent. 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 ethnicity, gender, job grade, department, age and length of service. This will give us an anonymous mechanism for collecting information about staff by racial group and their thoughts and experiences concerning a range of topics connected with working at Audit Scotland. We have developed questions to provide broad information about staff development and general perceptions of progress on race equality and equality and diversity more generally.

Measuring progress

42. The involvement of staff continues to help us to identify key actions and prioritise our impact assessment programme for internal policies and activities. This work will continue to feed into the action plan. The DEWG will monitor progress on the actions with the help of the involvement groups.
43. 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 race) through the Diversity Excellence Model (DEM) and the staff survey. In the baseline DEM survey in 2005, staff trained in the model assessed how Audit Scotland was performing on 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 trained as assessors will be asked to re-assess our performance on the same criteria during 2008, providing us with a broad measure of our progress.
44. We will measure satisfaction and perceptions of staff through the bi-ennial staff survey.
45. Measuring progress on our external audit activities is more difficult and will depend more on monitoring actions in the plan.

Using the information

46. 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 race equality in general. We have identified an action to develop appropriate mechanisms for measuring progress and impact.

Monitoring and review

47. The DEWG group in conjunction with the involvement group will monitor and review progress on the action plan in regular quarterly meetings. The group currently produces an annual diversity monitoring report for each calendar year. This will be expanded to include further race equality information and analysis when the information described in the previous sections becomes available. The whole scheme and action plan will be reviewed and updated in three years.
48. 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.
49. We will also publish the results of our impact assessments on an annual basis.
50. We will publish a revised race equality scheme in May 2010.
51. We remain committed to our employment duty under the RED. Our aim is to ensure that our employment policies promote equality and diversity and that we monitor the impact of our policies effectively and take action quickly to address any shortcomings. Our objectives in doing this are as follows:
 - Every HR policy and procedure must seek to promote equality and diversity
 - Managers and staff live and breath it through a comprehensive process of training and awareness raising so that it forms part of the fabric of the organisation and is inherent in all decisions taken
 - We ensure it is happening through a rigorous process of monitoring and evaluation and benchmarking of progress
52. Audit Scotland is committed to monitoring its recruitment and employment policies to ensure their accessibility to all people irrespective of race and background. Audit Scotland will monitor, by racial group, staff in post and applicants for jobs, promotion and training.
53. We will also monitor and analyse grievances, disciplinary action, performance appraisal and the number of staff who receive training.

Assessing progress in other organisations

54. 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.
55. 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.
56. 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 (SPI's) which all councils, police forces and fire brigades must publish. There are specific indicators relating to race. 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.
 - **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.
 - The Accounts Commission is currently reviewing the Best Value audit framework with stakeholders.

- **Other activity**

- Audit Scotland contributed towards the Crerar Scrutiny Review, which looked at evidence of diversity and equality relating to audit and inspection activity in Scotland.
- Audit Scotland contributed towards a UK-wide examination of progress on diversity and equality and the role of audit and inspection in supporting this.

57. By using our *Priorities & Risk Framework* (PRF) for local government, principally an audit planning and risk assessment tool, in combination with other activities we are able to identify risks which may be specific to local government in Scotland. This helps auditors in assessing audit risk and deciding where to target resources. Equalities is considered as a cross-cutting theme particularly in relation to political governance, performance management, workforce management, procuring and managing assets. The *Priorities & Risk Frameworks* are also used across all sectors (health, central and local government).

Actions and priorities

Top eight actions

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

TIMEFRAME	ACTION
Within 3 months	Set specific timeframes and actions for communication about this latest scheme and action plan
	Extend race involvement group beyond members of the DEWG
	Tailor our impact assessment tool
	Extend involvement to include other equality strands
	Develop our priorities and programme of impact assessments
	Review outcomes from the staff survey
From 3 months onwards	Continue roll-out of awareness and understanding approaches – staff training, on-line awareness package and Management Development Programme
Within 3 to 6 months	Conduct an impact assessment pilot using the Scottish Executive Toolkit

Top policies and activities for review

59. Below we have set out the 15 policies and activities assessed by our involvement group and the DEWG as being top priorities for impact assessment. A programme of impact assessments for these policies and functions will be developed during 2007. With the introduction of the disability and gender equality duties, awareness and expectations around the impact assessment process has grown since the implementation of the RED in 2002. Therefore, we are enhancing our approach to ensure the assessment of our policies and functions is consistent and takes account of each equality strand.

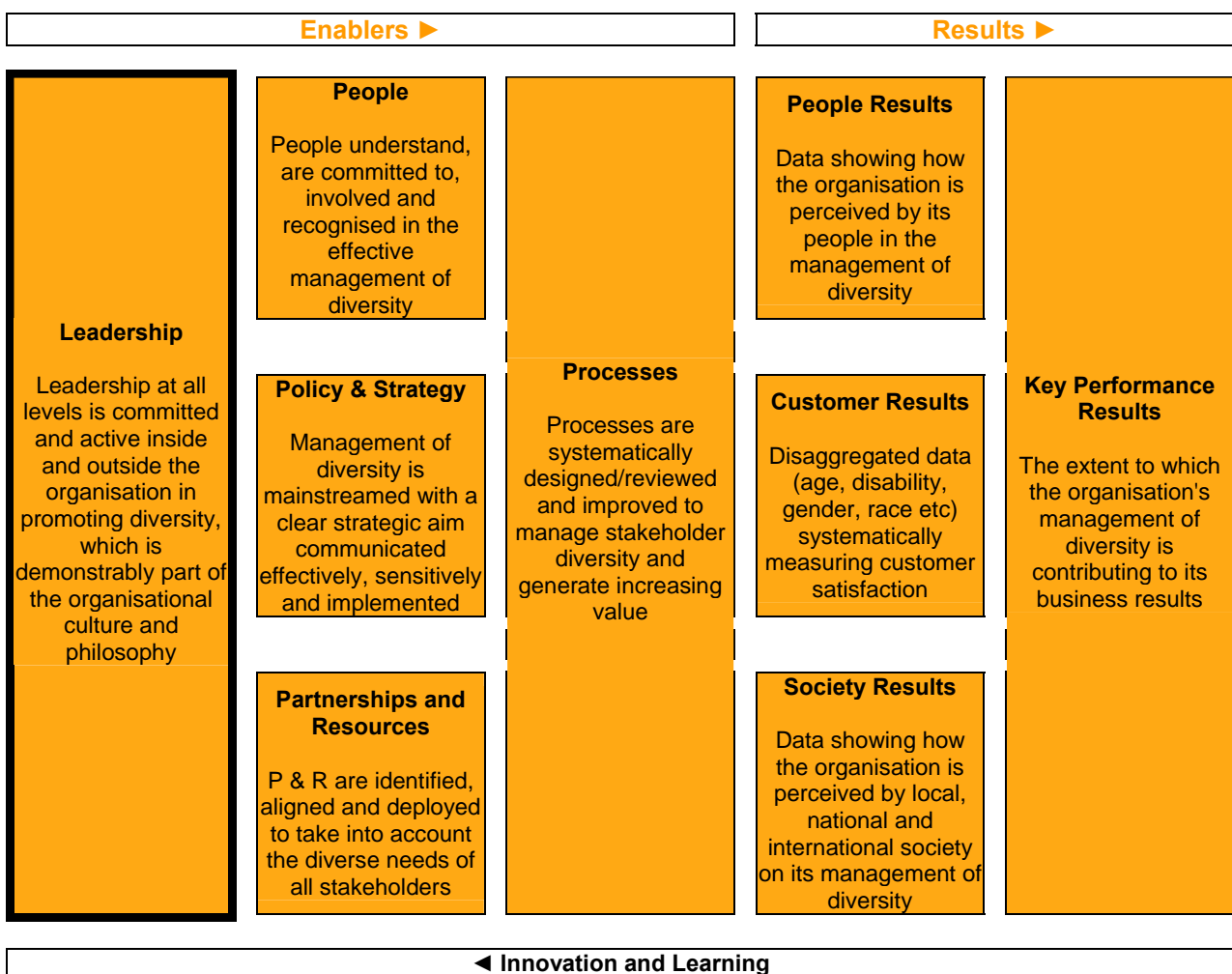
- Bullying & harassment
- Code of conduct
- Disciplinary & grievance
- Diversity statement
- Family friendly provisions
- Performance Development Scheme & appeal system
- Recruitment & selection
- Communications Strategy
- Audit governance, financial stewardship and performance of public bodies.
- Priorities and Risk Frameworks
- Forward work programme consultation/scoping studies/project brief
- Best Value Audit Risk Assessment process
- Interviewing process and procedure
- National Studies
- Audit Guide

Note: Staff remuneration (job evaluation, salary structure, benefits) is being reviewed separately as part of the Reward Project which is being launched in 2007. The project will include a requirement for impact assessment to be built into the project plan.

- Appendix 1 – Diversity Excellence Model**

60. 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 (race)

	SUBSTANTIAL IMPACT	SOME IMPACT	A LITTLE IMPACT	NO IMPACT
VERY IMPORTANT	<ul style="list-style-type: none"> ▪ Bullying & harassment ▪ Code of conduct ▪ Disciplinary & grievance ▪ Diversity statement ▪ Family friendly provisions ▪ Performance Development Scheme & appeal system ▪ Recruitment & selection ▪ Pay & reward systems 	<ul style="list-style-type: none"> ▪ sickness & absence management 	<ul style="list-style-type: none"> ▪ Abacus and other internal communication such as Team Brief and Libro (staff intranet) 	<ul style="list-style-type: none"> ▪ Counter fraud policy
REASONABLY IMPORTANT	<ul style="list-style-type: none"> ▪ Compassionate leave ▪ Emergency leave ▪ Flexible working ▪ Flexitime scheme ▪ Holiday ▪ Homeworking ▪ Secondment ▪ Catering arrangements ▪ Security of staff ▪ IT training 	<ul style="list-style-type: none"> ▪ Learning & development strategy ▪ Occupational health service ▪ Procurement of offices ▪ IT support desk and Mayday arrangements 	<ul style="list-style-type: none"> ▪ Childcare voucher scheme ▪ Introduction and welcome to Audit Scotland ▪ Job evaluation process ▪ Leaving your employment ▪ Other employment ▪ Relocation policy ▪ H&S audit accommodation ▪ 	<ul style="list-style-type: none"> ▪ Car leasing ▪ Early retirement & retirement policy ▪ Fixed term contracts of employment ▪ Smoking ▪ Whistleblowing ▪ Working time ▪ Disclosure for Scottish Executive / Parliament passes ▪ Health & safety ▪ ITC acceptable use ▪ Time recording
NOT VERY IMPORTANT	<ul style="list-style-type: none"> ▪ the retention of personal detail information within Human Resources 	<ul style="list-style-type: none"> ▪ guidance relating to contracts, tax status and expenses for self-employed consultants 	<ul style="list-style-type: none"> ▪ Hardware list 	<ul style="list-style-type: none"> ▪ Adverse weather conditions ▪ Charities & sponsorship ▪ Mobile telephones and PDA ▪ Personal property ▪ Season ticket policy ▪ Travel, travel policy & expenses

Appendix 3 – Prioritising our external policies and activities (race)

	SUBSTANTIAL IMPACT	SOME IMPACT	A LITTLE IMPACT	NO IMPACT
VERY IMPORTANT				
	Audit governance, financial stewardship and performance of public bodies			
	Priorities & risk framework			
	Communications strategy (including web based content and printed material)			
	Undertaking of national studies on behalf of Auditor General and Accounts Commission			
	Forward work programme consultation/scoping studies/project brief			
	BV approach			
	Interviewing process and procedure			
	Audit Guide			
REASONABLY IMPORTANT	Dealing with enquiries, correspondence and complaints about public bodies.	Procurement of the audit		
	Engagement with external stakeholders / fieldwork	QCR		
NOT VERY IMPORTANT				
				Audit risk analysis plan
				Financial statements strategy
				Provision of technical guidance

Appendix 4 - Race Equality Scheme action plan

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

Leadership			
Action	Explanation	Outcome	Responsibility and timescale
Ensure that leadership and management development programmes include training and development on race equality.	Need for leaders and senior managers at Audit Scotland to demonstrate high level commitment to and enthusiasm for race equality and the diversity agenda.	<ul style="list-style-type: none"> • Commitment moving beyond policy, into practice. • Clear commitment from the top. • Managers skilled and competent at articulating the equality and diversity issues in our work. • Leaders ensure that staff are aware of diversity statement and policies. • 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. • Visible ownership of equality and diversity issues. 	Director of Corporate Services Human Resources and Organisational Development Manager Ongoing.
Mainstream management of diversity into competency framework.	To ensure that everyone understands what behaviours are expected.	<ul style="list-style-type: none"> • Set clear expectations of behaviours against which performance can be measured. 	Human Resources and Organisational Development Manager Commence October 2007

People			
Action	Explanation	Outcome	Responsibility and timescale
Establish membership of a wider internal involvement group to include staff and continue to work with the group to develop their programme of involvement	Requirement of the RED to involve a representative group of people (to an appropriate standard) in progressing race equality.	<ul style="list-style-type: none"> An internal group that have a range of differing backgrounds based upon race, gender, age, job grade etc. The group member's views and experiences strongly influence decisions and priorities. 	Director of Corporate Services August 2007 and on-going
Provide all staff with race equality training	<p>Ensure that all staff who are not attending other courses are also up to date.</p> <p>Staff must understand why we are doing them.</p>	<ul style="list-style-type: none"> Staff have an up to date understanding of race equality and diversity and know how it affects them in their roles. Staff are trained to an appropriate level. 	Human Resources and Organisational Development Manager Ongoing
<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 race 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"> Staff have an up-to-date understanding of race equality and diversity issues and know how it affects them in their roles. Staff are aware of the Race Equality Duty specifically. 	Human Resources and Organisational Development Manager Full review of HR run courses by August 2007 and on-going

Policy and strategy			
Action	Explanation	Outcome	Responsibility and timescale
Benchmark with other organisations.	Learn from others to improve our approach to policy development.	<ul style="list-style-type: none"> • Policy development takes account of practice in other organisations. • We have a central spreadsheet of contacts within other public sector bodies. • We are aware of what other organisations are doing in relation to gender equality and diversity. • We have good relationships with other public sector bodies and compare notes with them on diversity and equality-related issues. 	<p>Director of Corporate Services</p> <p>Commenced and ongoing.</p>
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"> • A tailored impact assessment tool that meets our needs • A 3-year programme of impact assessments based on priorities • A team of staff and other external participants who understand feel equipped to undertake impact assessments 	<p>Director of Corporate Services responsible for overall programme of impact assessments.</p> <p>Heads of functions responsible for individual impact assessments of specific policies, functions or activities.</p> <p>August 2007</p>
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"> • A minuted assessment of progress on the action plan 	<p>Director of Corporate Services</p> <p>First review by January 2008</p>

Policy and strategy			
Action	Explanation	Outcome	Responsibility and timescale
The involvement groups to review progress on the action plan every six months.	The RED requires people to be involved in monitoring and reviewing the action plan	<ul style="list-style-type: none"> A minuted assessment of progress on the action plan 	Director of Corporate Services First review by January 2008
Produce an annual review of progress on the race equality scheme and a revised action plan.	Requirement of the RED and a means of reporting progress to all interested parties.	<ul style="list-style-type: none"> A formal, annual assessment of progress and a revised action plan, approved by MT 	Director of Corporate Services First review May 2008
Formally review the Race Equality Scheme after 3 years and publish an updated scheme and action plan	Requirement of the RED and a means of keeping the scheme up-to-date and relevant.	<ul style="list-style-type: none"> A formal review of the scheme by the DEWG, the involvement groups and other involved parties An updated scheme published by May 2010 	Director of Corporate Services May 2010
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"> A report on the results of a second DEM assessment 	Director of Corporate Services December 2008

Processes			
Action	Explanation	Outcome	Responsibility and timescale
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"> A completed review and any recommendations implemented. 	Communications Manager December 2007
Ensure quality framework mainstreams diversity.	Review quality framework.	<ul style="list-style-type: none"> A completed review and any recommendations implemented. 	Director of Corporate Services August 2007

People results			
Action	Explanation	Outcome	Responsibility and timescale
Extend our routine monitoring to examine richer and deeper areas of race inequality (indirect discrimination / culture improvement)	Ensure that we have appropriate methods for collecting information that will be valuable in monitoring.	<ul style="list-style-type: none"> Routine monitoring embraces staff attitude survey data and examines possible trends suggested by different data. 	Human Resources and Organisational Development Manager January 2008

Customer results			
Action	Explanation	Outcome	Responsibility and timescale
Complete planned programme of impact assessments and report on results of assessments annually. This will include the top policies / activities identified by the involvement groups.	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.	<ul style="list-style-type: none"> A formal, annual report giving the results of impact assessments undertaken in the previous year, and actions taken or planned as a result 	Director of Corporate Services March 2008
Extend QCR process to include diversity.	Ensure that approaches to diversity are reviewed within existing mechanisms for quality review.	<ul style="list-style-type: none"> A completed review and recommendations implemented. 	Director of Audit Strategy Summer 2007 & ongoing

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

Appendix 5 - Race Equality Scheme review of previous action plan

This section reviews the actions previously identified in the first scheme (2002), as revised in 2005, to improve race equality.

Action identified from Audit Scotland's Race Equality Scheme	Other Information	Outcome
<p>Audit Scotland will build upon its current equalities work by working with CRE's Audit and Inspection Group to develop a joint process for assessing progress by public bodies in implementing the RRAA.</p>	<p>Progress will be measured by the publication of the new approach, agreed with the CRE.</p>	<p>Progressed and ongoing</p> <p>The CRE published its guidance <i>A Framework for Inspectorates in Scotland</i> in late 2002. Audit Scotland, on behalf of the Accounts Commission, worked with the CRE's Audit & Inspection Group using this framework. A common understanding of Audit Scotland's approach to assessing public bodies' implementation of the RRAA was the outcome.</p> <p>The Public Reporting Group's 2003-04 business plan set out four strands for addressing the foregoing through the Project Management Framework, the consultation programme, the SPIs and the Best Value Audit. The first three of these are reported on below and the approach to Best Value Audit is set out in <i>The Audit of Best Value – A Guide for Councils in Year 1</i>. A review of the approach is taking place during 2007.</p> <p>Audit Scotland has consulted with the Equalities Group (see end note) to progress all four strands.</p> <p>In addition, Audit Scotland has developed the staff governance audit of health boards, which includes an assessment of their compliance with NHS Scotland guidance on HR policies (including equal opportunities).</p> <p>Audit Scotland is currently developing its approach to auditing Best Value (including equal opportunities) in health and central government bodies.</p> <p>Audit Scotland is considering how best to include equal opportunities in the developing approach to auditing Best Value in health and central government bodies.</p>

<p>Audit Scotland will work with equalities bodies to develop new statutory performance indicators, for consultation with audited bodies, which can be used to measure progress on equalities.</p>	<p>Progress will be measured by</p> <ol style="list-style-type: none"> 1. Reaching an agreed position on proposals for SPIs with CRE. Any SPIs to be included in 2003 consultation paper. 2. Publication of new direction on SPIs including agreed race equality indicators (subject to 1 if accepted after consultation) 3. publication of performance across authorities using new indicators (subject to 1 and 2) 	<p>Complete</p> <p>In the lead-up to the 2003 Consultation for 2004-05 SPIs, Audit Scotland met individually with each of the three Commissions (CRE, DRC & EOC). A new SPI proposed as a result is an indicator relating to public access under the DDA. No race equality indicators were identified in addition to the already established indicators on the clear up rate for racially aggravated crimes.</p> <p>In 2005, Audit Scotland and the CRE again explored the development of a new indicator measuring the proportion of council employees from black and minority ethnic groups. However, both parties recognised a number of difficulties in seeking to reflect the comparative achievement of councils in relation to racial equalities.</p> <p>In October 2005, the PA Committee of the Accounts Commission decided that no further action should be taken on the development of SPI's relating to race equalities until after the performance audit study (see next set of actions below).</p> <p>Audit Scotland is participating with COSLA, the Improvement Service and SOLACE (in work led by the Scottish Executive) to develop a new national performance management framework for local authorities in Scotland. We are also assisting the SE with the development of performance management frameworks for police and fire & rescue services. We will seek to ensure that equalities issues are considered as part of these developments.</p>
<p>We will review our letter of appointment to auditors to ensure that the new duties of the Accounts Commission and Audit Scotland are clear.</p>	<p>Progress will be by issuing new letters of appointment, if required.</p>	<p>Complete</p> <p>Letter of appointment reviewed in line with CRE paper <i>Race Equality and Public Procurement: A guide to meeting the duty to promote race equality</i>.</p> <p>A standard consultancy contract for use by the Public Reporting Group was reviewed and amended.</p>
<p>Audit Scotland will review its code of audit practice to ensure it reflects the new race equality duties.</p>	<p>Revised Code of Practice, if required</p>	<p>Complete</p> <p>Code of Practice was reviewed twice (2005 and 2007) and a new code was launched in 2007.</p>
<ol style="list-style-type: none"> 1. Audit Scotland will consider how effective the current policy on mainstreaming equalities in Performance Audit studies has been. 2. As a result of this, Audit 	<p>Progress will be measured by the publication of revised study methodology.</p>	<p>Progressed and ongoing</p> <p>Audit Scotland reviewed the effectiveness of its approach and, as a result, implemented actions as shown below:</p> <p>The Performance Management Framework was re-launched in 2004, setting out how every new study should include explicit consideration of equalities issues.</p> <p>A further re-launch in Spring 2007 includes more detailed guidance and examples for</p>

<p>Scotland will review its project management framework with a view to building upon and making more explicit the consideration of equalities issues.</p> <p>3. This work may lead to consultation on topics more focused on equalities within the forward studies programme.</p>		<p>project managers on how to do this. The Equalities Commissions are on our list of consultees for every study brief.</p> <p>Following positive feedback from consultation on the study programme, the Accounts Commission has agreed to undertake a study with an equality focus in 2006/07. The study is examining race equality in Scottish councils and will be completed during late 2007 / early 2008.</p>
<p>Audit Scotland will review it's internal and external communications policies to build upon and make more explicit the way in which equalities issues are addressed</p>	<p>Revised guidelines for communications, if required.</p>	<p>Progressed and ongoing</p> <p>External Communications: Reviewed in line with duty. Publications are accessible to all – we have made the following improvements to our website and printed publications:</p> <ul style="list-style-type: none"> a) Alternative formats / languages for reports available on request b) All printed reports have a statement to this effect on the back cover c) All electronic reports on the website are provided in pdf, rtf and aural overview is provided in MP3 format. d) The website complies with the Web Accessibility Initiative (WAI) Priority Level 1 and 2 Guidelines and many Priority Level 3 guidelines have also been followed <p>Internal Communications: The Communications team assisted in the launch of the new Intranet and are responsible for managing the content of the home page. The team also created a team brief system, which together with the Intranet, should help to improve internal communications.</p>
<p>Review of implementation of RES</p>	<p>Report to SMT</p>	<p>Complete</p> <p>Paper went to SMT 18 Nov 2003, informing them of progress ref HR policies and of work planned to mainstream equalities into the work of AS. The SMT approved expenditure to contract the services of a consultant to help with this mainstreaming work. This expenditure was carried over to pay for the Diversity Excellence Model (DEM) work (see below).</p> <p>Diversity Statement and Bullying and Harassment Policy were agreed at SMT 15 Dec 04. The 2005 Staff Attitude Survey found a high % of staff felt they were treated with fairness</p>

		<p>and respect, including those from black and ethnic minority groups.</p> <p>16 Aug 05 – SMT received update on progress and timetable for DEM work.</p> <p>In 2005 we introduced the DEM, a robust tool for assessing and developing the way in which we manage diversity in Audit Scotland. We trained 19 staff as DEM assessors, which resulted in a diversity and equality action plan to mainstream diversity and equality. This work led to a review of our RES and the publication of a review of our functions and policies. It also shaped and informed the production of our new equality schemes for disability, gender and race.</p> <p>During 2006 we carried out presentations across the organisation to raise awareness on diversity and equality issues and the three public sector duties.</p>
Policy development – Audit Scotland will consult with staff on a new Equal Opportunities and Diversity Statement	Progress will be measured by the publication of a new equal opportunities and diversity statement.	<p>Complete New Diversity Statement and Bullying and Harassment policy developed, communicated and incorporated into the Staff Handbook.</p>
Diversity and Equality Working Group to be set up to monitor implementation of Audit Scotland's Race Equality Scheme.	Quarterly meetings of Equality and Diversity Working Group.	<p>Complete Group now well established and meet on a quarterly basis to discuss issues relating to equality and diversity. Minutes are put on the intranet.</p>
Recruitment and Selection Policy to be reviewed and Equal Opportunities monitoring form to be revised.	Publication of revised Recruitment and Selection policy.	<p>Complete New Recruitment and Selection policy issued/Equal Opportunities monitoring form revised.</p> <p>Policy has since been reviewed again Jan 05.</p> <p>This policy is reviewed annually. Any future reviews will continue to take account of diversity/equality issues.</p>
Policy review – all HR policies to be reviewed in line with development of staff handbook: Discipline and Grievance, Training and Development, Performance Development System.	Targets set within staff handbook project plan will measure progress.	<p>Complete Staff Handbook developed and any new policies will take account of diversity/equality issues.</p> <p>All HR policies are now reviewed annually and take account of diversity/equality issues.</p>

<p>Training – all staff will receive briefing/training in equal opportunities and diversity as part of PDS training.</p> <p>Induction process will introduce to all new staff the commitment of Audit Scotland to the promotion of diversity issues.</p>	<p>Evaluation and feedback from staff.</p>	<p>Complete All induction and PDS training provides a brief introduction to diversity/equality issues.</p> <p>Diversity Excellence Model Assessment has involved a large number of staff, with 19 doing a 2 day training course as assessors (August 2005).</p>
<p>Internal communications such as HR Newsletters and the Audit Scotland magazine will further promote awareness and diversity issues.</p>		<p>Ongoing Any news to be reported on diversity issues is included in HR Newsletters/internal magazine (Abacus) e.g. Diversity Excellence Model information and Assessor listings.</p> <p>In addition, the intranet site (Libro) now hosts a Diversity and Equality page which contains information on the work of the diversity working group, legislation, monitoring reports, RES's, policies and relevant references.</p>
<p>Monitoring – an ethnic profile will be established of Audit Scotland's workforce via a questionnaire to all staff.</p> <p>HR information system to capture and report on data required under the RRAA monitoring requirements.</p>	<p>Baseline data compiled by Jan 2003.</p> <p>Quarterly reporting on monitoring information</p>	<p>Complete New HR system now holds ethnicity information. Monitoring report produced on an annual basis (Dec / Jan). Reports were compiled in December 03 and December 04. Another is due in Dec 05. They are published on Audit Scotland's website.</p>
<p>Reporting and Reviewing progress – reporting on results of monitoring to SMT to take place quarterly.</p> <p>Results of monitoring published annually.</p>	<p>Quarterly reporting on monitoring information</p>	<p>Ongoing HR monitoring reports produced on an annual basis - reported to SMT and made available to staff via intranet.</p>
<p>Staff Handbook – in the process of being developed, due for completion by mid 2003. Will contain section on equal opportunities and diversity and seek to promote this in handbook in general.</p>	<p>Completed Staff Handbook published on Libro.</p>	<p>Complete Staff Handbook now on Intranet site, and is under continuous review. Diversity Statement and Bullying and Harassment policy added.</p>

<p>Include specific demographic questions to include in our bi-ennial staff survey to support richer analysis of the results</p>	<p>Need to gather information on staff in the organisation to support a deeper analysis and better conclusions for future improvement areas</p>	<p>Complete Demographics section and diversity & equality related questions were revised during 2007.</p>
<p>Introduce equality and diversity clause in procurement contracts.</p>	<p>Revised procurement guidance approved by MT in February 2007 does this.</p> <p>This will also be reviewed as part of the impact assessment programme.</p>	<p>Complete Procurement guidance revised and published.</p>