# **Annual Diversity Monitoring Report**

January - December 2006

#### Introduction

- 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.
- 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 included ethnicity information. In 2004 we introduced gender information. In this report we have extended our monitoring to include age and working patterns for staff. For recruitment monitoring we have added age, religion and disability information.
- 6. In line with the age ranges used within our diversity monitoring form for recruitment process, the following age ranges will be used throughout this report: < 25, 25-34, 35-44, 45-55 and > 55.
- It was agreed by the Diversity and Equality Working Group that where numbers
  represent less than five employees there would be no specific reporting for
  confidentiality reasons.
- 8. This report covers the period from January to December 2006. The recruitment statistics do not include 2 campaigns (Audit Services campaign and IT Manager campaign) run during late 2006 as information was incomplete.

- 9. During 2006, in light of the Disability Equality Duty, we produced our Disability Equality Scheme and Action Plan. Part of our obligation under the duty is that we set out our arrangements for gathering information on the effect of our policies and procedures on the recruitment, development and retention of disabled employees. In relation to the collection of disability information from staff, we will initially expand the profile section of our 2007 attitude survey. This will allow us to analyse the information gathered to ascertain if any inequalities exist across our key policy areas. Going forward, we will develop other strategies to enable us to collect this and other diversity information.
- 10. We also implemented a communication strategy during 2006 to raise awareness of the public sector duties and diversity and equality in general. Presentations were organised by diversity group members and other colleagues to communicate key messages across the organisation.
- 11. Another key development during 2006 was the introduction of our Management Development Programme (MDP) which considers diversity and equality at each stage. The programme has a dedicated diversity and equality trainer who covers the legislative framework, public sector duties and Audit Scotland's schemes and action plans. The programme is sponsored by our Director of Corporate Services, who has attended training events to provide managers with an organisational context around our equality schemes and action plans. Our MDP was launched during October 2006 and, by it's completion around 2008, around 95 of our senior line managers will have attended the training.

#### **Staff Profile**

12. This section provides information on the ethnicity, gender, age and working patterns of Audit Scotland employees as at the end of December 2006.

# **Ethnicity profile**

13. Exhibit 1 shows the ethnicity profile of Audit Scotland across four years (2003 – 2006). It also provides comparative annual population survey data (2005-2006) on the working age population of Scotland and those in employment (of working age).

Exhibit 1 Ethnicity profile of Audit Scotland staff

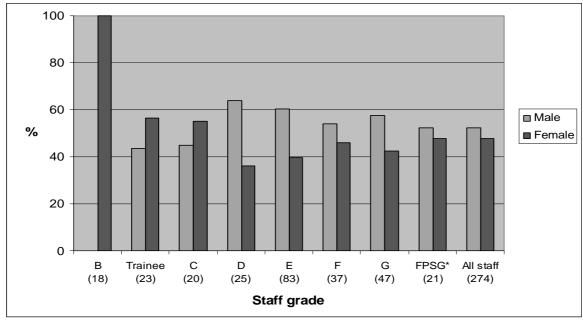
		Audit Sco	otland staff		Working age	People in
Ethnicity	Baseline 2003 2004 (%) (%)		December 2005 (%)	December 2006 (%)	population in Scotland (05/06)	employment in Scotland (05/06)
White	97.6	98.5	97.6	98.2	97.2	97.9
Minority ethnic	2.4	1.5	2.4	1.8	2.8	2.1

Source: Audit Scotland & Annual Population Survey April 2005 - March 2006, ONS

## Gender profile

14. Audit Scotland has 274 employees as at December 2006. Exhibit 2 shows the percentage of males and females employed within each grade. Full figures are detailed in appendix 1.

Exhibit 2 Gender profile of Audit Scotland staff by grade



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

		Audit Scotland staff grade – number of staff														
Gender	В	Т	С	D	Е	F	G	FPSG*	Tot							
Male	0	10	9	16	50	20	27	11	143							
Female	18	13	11	9	33	17	20	10	131							

<sup>\*</sup> Fixed Point Salary Grade

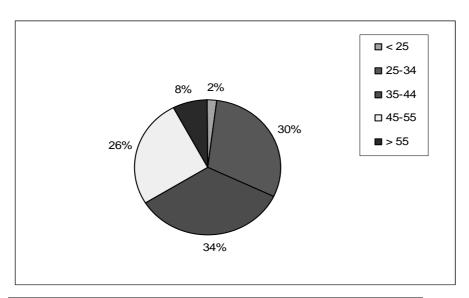
Source: Audit Scotland

15. In total, as in 2005, there are more male (52%) than female (48%) employees. There are more males than females in grades D through to FPSG. However, there are more female trainees, who move on to posts at grade D and upwards. There are more females than males within grades B, T and C. Audit Scotland's overall gender profile compares to Scotland's working age population of 51% males and 49% females (2005-2006 annual population survey data).

## Age profile

16. Exhibit 3 shows the age profile of Audit Scotland staff as at December 2006.

Exhibit 3 Age profile of Audit Scotland staff



Age	< 25	25-34	35-44	45-55	> 55
Age	6	82	93	72	21

- 17. The majority of Audit Scotland staff are between the age of 25 and 55 years. The smallest proportions of staff are within the age brackets 'less than 25 years' and 'more than 55 years'.
- 18. As this is the first time we have included age data, few conclusions can be drawn at this stage. Human Resources will monitor age data over time.

#### Working patterns at Audit Scotland

19. Audit Scotland operates a flexi time scheme and homeworking policy to enable staff to strike a better balance between their home and work responsibilities. Two female (white) employees have formal homeworking arrangements in place<sup>1</sup>. In addition, 35 employees (100% white / 11% male, 91% female) have alternative working arrangements e.g. annualised hours and reduced hours. Females have alternative working hours across all grades. Exhibit 4 shows an analysis of alternative working arrangements by age. No conclusions can be drawn at this stage.

#### **Exhibit 4 Alternative working hours by age**

< 25	25 - 34	35 - 44	45 - 55	> 55
0	5	12	13	5

#### Recruitment

- 20. Audit Scotland's recruitment and selection process is designed to be fair, robust and follow best practice principles. Individuals are assessed on the competencies required to carry out the role effectively. All staff involved in recruitment and selection attend corporate training which covers the legislative framework and diversity and equality issues.
- 21. During 2006 we advertised vacancies in the press 9 times<sup>2</sup> and offered appointments to 28 people (17 external and 11 internal offers). In addition, 10 vacancies (> 6 months in duration) were approved for making an appointment with internal advertising only. The decision to advertise internally only is based on a number of criteria as set out within our recruitment and selection policy. These include operational business risk, value for money and whether it is justifiable on the basis of our commitment to equal opportunity and diversity.
- 22. An analysis is provided below (Exhibit 5) of applications for externally advertised vacancies during 2006 by number of applications, number short-listed and number appointed.

<sup>&</sup>lt;sup>1</sup> A formal homeworking arrangement is where the home is used as a regular place of work on a predictable basis or the amount of time spent working from home is equal to or exceeds 20% of available contractual working hours and/or the home is to be the base location for an employee who spends the majority of time working from other, multiple locations (business related travel will be a regular feature of the role and allocating an Audit Scotland office as a base location is not an effective or practical option).

<sup>&</sup>lt;sup>2</sup> This figure does not include 2 campaigns that were incomplete at December 2006.

Exhibit 5 Recruitment during 2006

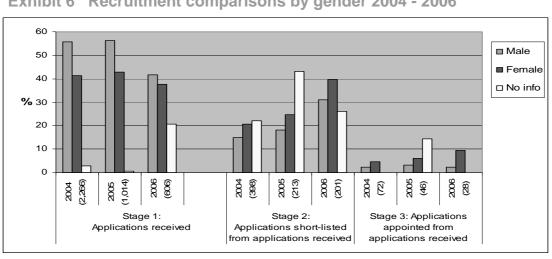
	Арр	age 1: lications ceived	Applic	ge 2: cations -listed	Stage 3: Applications appointed				
Ethnicity	No.	%	No.	%	No.	%			
White	453	74.8	157	78.1	27	96.4			
Minority ethnic	27	4.5	12	6.0	1	3.6			
No information provided	126	20.8	32	15.9	0	0.0			
Gender	No.	%	No.	%	No.	%			
Female	228	37.6	90	44.8	22	78.6			
Male	252	41.6	78	38.8	6	21.4			
No information provided	126	20.8	33	16.4	0	0.0			
Age	No.	%	No.	%	No.	%			
<25	78	12.9	36	17.9	2	7.1			
25-34	137	22.6	55	27.4	10	35.7			
35-44	129	21.3	46	22.9	10	35.7			
45-55	121	20.0	25	12.4	6	21.4			
55+	9	1.5	4	2.0	0	0.0			
No information provided	132	21.8	35	17.4	0	0.0			
Disability	No.	%	No.	%	No.	%			
Yes	3	0.5	1	0.5	0	0.0			
No	466	76.9	167	83.1	28	100.0			
No information provided	137	22.6	33	16.4	0	0.0			
Religion	No.	%	No.	%	No.	%			
Church of Scotland	143	23.6	41	20.4	3	10.7			
Hindu	5	8.0	2	1.0	0	0.0			
Other Christian	26	4.3	9	4.5	0	0.0			
Roman Catholic	68	11.2	21	10.4	3	10.7			
Muslim	3	0.5	2	1.0	0	0.0			
Sikh	1	0.2	1	0.5	0	0.0			
Buddhist	1	0.2	0	0.0	0	0.0			
Jewish	3	0.5	3	1.5	0	0.0			
Other	9	1.5	4	2.0	2	7.1			
N/a	212	35.0	82	40.8	11	39.3			
No information provided	135	22.3	36	17.9	9	32.1			

Source: Audit Scotland

23. These results should be interpreted carefully given the number of applications where no information has been provided.

24. Of all applications received, 4.5% were from people from an ethnic minority group. As a percentage of applications received, 44% (12/27) of ethnic minority applications were taken forward to shortlist stage and 4% (1/27) appointed, compared with 35% (157/453) and 6% (27/453) for applications from white candidates.

- 25. During 2006, we received more applications from males than females (252 males, 228 females). Fewer males than females were short-listed and fewer still appointed. As a percentage of applications received, 9.6% (22/228) of female applications compared to 2.4% (6/252) of male applications were appointed. In 2005 the percentage of males appointed was 3.3% and females 6%. The pattern was similar in 2004 and 2005, as illustrated in Exhibit 6 below.
- 26. The majority of applications received and appointments made are within age bands 25-34, 35-44 and 45-55.
- 27. During 2006, 3 applications were received from people with a disability. No appointments were made to candidates with a disability. In our recruitment correspondence/literature we always ask candidates if they have any special requirements.
- 28. This is the first year we have included information in relation to religion. The majority of applicants stated 'not applicable' or no information was provided against this category. 'Church of Scotland', 'Roman Catholic' and 'Other Christian' categories represented the majority of applications received. No conclusions can be drawn at this stage.
- 29. During stage 1 (applications received), every effort is taken to remove personal information from applications, e.g. anything relating to gender, ethnicity, religion, marital status, age, etc, to reduce the scope for discrimination at the short-listing stage. At stage 2 (shortlisting) decisions are made without knowledge of the aforementioned areas. Finally, at stage 3 (appointments) interview panels will have met with candidates and be aware of their visible differences e.g. age and gender.
- 30. Appendix 2 shows the breakdown of campaigns/vacancies by ethnicity, gender, age, disability and religion.



**Exhibit 6** Recruitment comparisons by gender 2004 - 2006

Source: Audit Scotland

#### **Promotion**

- 31. During 2006, there were 14 promotions and 11 people who received an acting-up allowance (this compares to 23 promotions during 2005). Due to the small numbers involved, we are unable to report on promotions by working pattern, ethnicity or age. Internal monitoring by HR does not highlight any inequality.
- 32. Exhibit 7 shows promotions and acting up opportunities by gender. .

Exhibit 7 Promotions and acting up opportunities by gender

	Promo	tions		Actin	g up		
	No	%	1	No	%		
Male	6	43		6	55		
Female	8	57		5	45		

# **Disciplinary Action and Grievances**

- 33. There were fewer than five disciplinary and grievance cases in 2006.
- 34. 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, ethnicity or age.

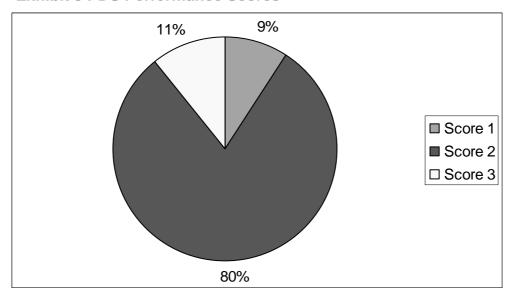
# **Performance Appraisal**

- 35. 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. Members of the FPSG do not receive a scored PDS.
- 36. As at December 2006, 259 employees have a completed PDS review (95% of all staff). Fourteen employees have not yet received their first formal PDS review (5%). Of those who had not received a PDS review, 5 (36%) are male and 9 (64%) are female. All fourteen are white employees.
- 37. Of those staff who receive a scored PDS (274 less 21 FPSG members = 253), 220 (87%) were scored<sup>3</sup>.

<sup>&</sup>lt;sup>3</sup> 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.

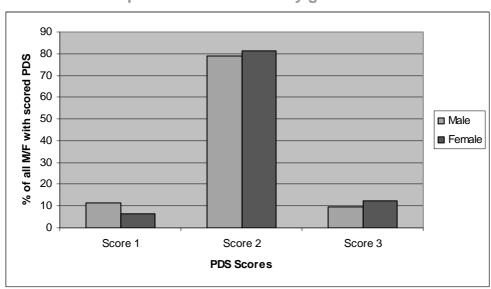
38. Total PDS scores are shown in Exhibit 8. Exhibit 9 shows the percentage of males and females achieving each score as a percentage of all males/females with a scored PDS.

**Exhibit 8 PDS Performance Scores** 



Source: Audit Scotland

Exhibit 9 PDS performance scores by gender



	Ma	ıles	Femal	es	To	otal
Score	No	%	No	%	No	%
Score 1	13	11	7	7	20	9
Score 2	90	79	86	81	176	80
Score 3	11	10	13	12	24	11
Total	114		106		220	

Source: Audit Scotland

39. No breakdown of PDS scores by ethnicity, age or working pattern is given due to the small numbers involved in some categories. Human Resources will monitor this area for any evidence of inequality.

### **Training**

- 40. Human Resources keep a record of training undertaken by Audit Scotland staff. Having reviewed the training records for the 274 employees at December 2006, we can confirm:
  - Training was recorded as having been undertaken across 98 different training areas.
  - 223 employees (81% of all employees) have received formal training<sup>4</sup>. This includes all of Audit Scotland's minority ethnic employees.
  - 106 (47% of all employees who received training) females and 117 (53% of all employees who received training) males received training. This represents 81% of all females and 82% of all males.
  - An analysis of those who have received training by age does not indicate any inequality.
  - 198 employees with standard working hours received some form of training compared with 25 employees working on a flexible basis. This represents 83% (198/239) of all those working standard hours and 71% (25/35) of all those working on a flexible basis.

## **Staff Leaving**

- 41. During 2006, 21 people resigned from the organisation (permanent contracts or prior to the expiry of a fixed term contract). This compares with 17 leavers in 2004 and 8 in 2005. Exhibit 9 shows leavers by gender. Due to the small numbers involved, we are unable to report on ethnicity. Human Resources will monitor this area for inequalities.
- 42. The turnover figure for 2006 is 7.5% (21/281x 100). Human Resources will build on this to develop a picture of turnover going forward.

Exhibit 10 Staff leaving Audit Scotland – ethnicity and gender

	20	04	20	05	2006					
Gender	No.	%	No.	%	No.	%				
Male	11	65	3	38	12	57				
Female	6	35	5	62	9	43				

Source: Audit Scotland

<sup>&</sup>lt;sup>4</sup> Human Resources capture formal training events and initiatives. However, significant coaching, reading, delegation and other means of development (that are not recorded) will have occurred during the year.

- 43. For the first time we are analysing leavers by age and working pattern. However, due to the small numbers involved in some categories, we are unable to report on this. We can confirm that the majority of leavers followed a standard hours working pattern. Also, the majority of leavers (47%) fell within the age category 35-44. No resignations were received from staff within the age bracket > 55.
- 44. 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.

### Conclusion

- 45. Audit Scotland's Diversity and Equality Working Group and Management Team will use the information in this report to assist them with their forward work plan.
- 46. During 2007, Audit Scotland will continue to develop its strategies for collecting information to enable more effective and efficient monitoring, and to inform the impact assessment process. We will work to develop our impact assessment process and policies and practices to promote mainstreaming of diversity and equality in general.

# Appendix 1

# Audit Scotland gender profile by grade

		Audi	t Scotl	and sta	ff grad	e – nur	nber o	f staff		
Gender	Trainee	В	С	D	Е	F	G	FPSG*	Tot	
Male	10	0	9	16	50	20	27	11	143	
Female	13	18	11	9	33	17	20	10	131	
		Audit	Scotlar	nd staff	grade	– perce	entage	of staff		Working age population in Scotland (05-06)
Gender	Trainee	В	С	D	Е	F	G	FPSG*	Tot	
Male	43	0	45	64	60	54	57	52	52	51

Female

Source: Audit Scotland & Annual Population Survey April 2005 – March 2006, ONS

<sup>\*</sup> Fixed Point Salary Grade.



Appendix 2

# Number of applications received and short-listed (not appointments, due to small numbers)

APPLICATIONS RECEIVED																			
Campaign		Ethnicit	у			Gend	er		ı	Disabilit	у				Αg	je			
	White	Minority ethnic	No info	Tot	Female	Male	No info	Tot	Yes	No	No info	Tot	< 25	25- 34	35- 44	45- 54	55+	No info	Tot
March 06 graduates and Corporate Planning Officer (composite)	109	10	12	131	52	68	11	131	1	115	15	131	49	43	17	8	0	14	131
March 06 Project Manager (CG)	9	0	3	12	8	1	3	12	0	9	3	12	0	3	5	1	0	3	12
April 06 Project Manager (LG)	9	0	3	12	1	8	3	12	0	9	3	12	0	3	5	1	0	3	12
June 06 Best Value Audit Managers	78	0	16	94	31	47	16	94	0	77	17	94	0	8	32	35	2	17	94
June 06 Support Manager ASG	43	1	4	48	29	15	4	48	0	43	5	48	1	14	13	12	4	4	48
June 06 Assistant Directors PRG	37	1	4	42	14	24	4	42	0	38	4	42	0	1	14	23	0	4	42
July 06 Publications Asst	37	5	8	50	27	15	8	50	1	41	8	50	9	21	9	3	0	8	50
Sept 06 Portfolio Manager	18	0	19	37	6	12	19	37	0	17	20	37	0	1	9	8	0	19	37
Sept 06 Project Manager	14	1	6	21	7	8	6	21	0	14	7	21	0	4	5	6	0	6	21
Sept 06 Project Officer	11	1	12	24	3	9	12	24	0	12	12	24	5	5	2	0	0	12	24
Sept 06 Best Value Performance Auditor	35	0	21	56	17	18	21	56	0	35	21	56	0	13	9	10	2	22	56
Sept 06 Inverness Auditor/Trainee	15	6	1	22	10	10	2	22	0	19	3	22	10	7	2	1	0	2	22
Oct 06 Administrators (OSG)	28	0	11	39	18	10	11	39	1	26	12	39	4	13	3	7	0	12	39
Oct 06 Corporate Finance Manager	10	2	6	18	5	7	6	18	0	11	7	18	0	1	4	6	1	6	18
Total no. of applications received	453	27	126	606	228	252	126	606	3	466	137	606	78	137	129	121	9	132	606
% of all applications received	74.8	4.5	20.8		37.6	41.6	20.8		0.5	76.9	22.6		12.9	22.6	21.3	20.0	1.5	21.8	



APPLICAT	IONS RE	CEIVED									
			-		Religion						
Church of Scotland	Hindu	Jewish	Sikh	Other Christian	Roman Catholic	Buddhist	Muslim	Other	N/a	No info	Tot
31	2	0	0	10	14	0	1	0	58	15	131
1	0	1	0	0	0	0	0	0	7	3	12
1	0	1	0	0	0	0	0	0	7	3	12
34	0	0	0	3	11	0	0	0	29	17	94
19	0	0	1	2	7	0	0	4	10	5	48
10	0	0	0	3	4	1	1	0	17	6	42
6	1	0	0	2	7	0	0	1	25	8	50
4	0	0	0	0	7	0	0	0	7	19	37
6	0	0	0	0	2	0	0	0	7	6	21
2	0	0	0	0	1	0	0	1	8	12	24
16	0	1	0	0	6	0	0	2	10	21	56
3	1	0	0	3	2	0	1	0	10	2	22
8	0	0	0	2	5	0	0	1	12	11	39
2	1	0	0	1	2	0	0	0	5	7	18
		1						1			
143	5	3	1	26	68	1	3	9	212	135	606
23.6	0.8	0.5	0.2	4.3	11.2	0.2	0.5	1.5	35.0	22.3	



APPLICATIONS SHORT-LISTED																			
		Ethnicit	ty			Gend	er			Disa	bility					Age			
Campaign	White	Minority ethnic	No info	Tot	Female	Male	No info	Tot	Yes	No	No info	Tot	< 25	25- 34	35- 44	45- 54	55+	No info	Tot
March 06 graduates and Corporate Planning Officer (composite)	59	4	0	63	30	33	0	63	1	61	1	63	29	22	8	2	0	2	63
March 06 Project Manager (CG)	5	0	0	5	4	1	0	5	0	5	0	5	0	2	2	1	0	0	5
April 06 Project Manager (LG)	5	0	0	5	4	1	0	5	0	5	0	5	0	2	2	1	0	0	5
June 06 Best Value Audit Managers	17	0	2	19	7	10	2	19	0	17	2	19	0	0	12	5	0	2	19
June 06 Support Manager ASG	14	1	0	15	12	3	0	15	0	15	0	15	1	6	2	3	3	0	15
June 06 Assistant Directors PRG	7	0	1	8	3	4	1	8	0	7	1	8	0	0	5	2	0	1	8
July 06 Publications Asst	4	1	2	7	3	2	2	7	0	7	0	7	0	4	0	1	0	2	7
Sept 06 Portfolio Manager	4	0	8	12	1	3	8	12	0	4	8	12	0	1	3	0	0	8	12
Sept 06 Project Manager	8	0	1	9	5	3	1	9	0	8	1	9	0	4	3	1	0	1	9
Sept 06 Project Officer	4	1	5	10	2	3	5	10	0	5	5	10	3	1	1	0	0	5	10
Sept 06 Best Value Performance Auditor	8	0	5	13	5	3	5	13	0	8	5	13	0	2	3	3	0	5	13
Sept 06 Inverness Auditor/Trainee	7	4	1	12	4	6	2	12	0	9	3	12	3	5	1	1	0	2	12
Oct 06 Administrators (OSG)	10	0	2	12	8	2	2	12	0	10	2	12	0	6	3	1	0	2	12
Oct 06 Corporate Finance Manager	5	1	5	11	2	4	5	11	0	6	5	11	0	0	1	4	1	5	11
Total no. of applications shortlisted	157	12	32	201	90	78	33	201	1	167	33	201	36	55	46	25	4	35	201
Percentage of applications shortlisted	78.1	6.0	15.9		44.8	38.8	16.4		0.5	83.1	16.4		17.9	27.4	22.9	12.4	2.0	17.4	



APPLICATIONS SHORT-LISTED											
Religion											
Church of Scotland	Hindu	Jewish	Sikh	Other Christian	Roman Catholic	Buddhist	Muslim	Other	N/a	No info	Tot
13	1	0	0	3	9	0	1	0	36	0	63
1	0	1	0	0	0	0	0	0	3	0	5
1	0	1	0	0	0	0	0	0	3	0	5
6	0	0	0	1	3	0	0	0	7	2	19
5	0	0	1	2	1	0	0	1	4	1	15
2	0	0	0	0	0	0	0	0	4	2	8
2	0	0	0	0	1	0	0	0	2	2	7
0	0	0	0	0	1	0	0	0	3	8	12
3	0	0	0	0	1	0	0	0	4	1	9
1	0	0	0	0	0	0	0	1	3	5	10
3	0	1	0	0	1	0	0	1	2	5	13
0	1	0	0	2	0	0	1	0	6	2	12
4	0	0	0	1	2	0	0	1	2	2	12
0	0	0	0	0	2	0	0	0	3	6	11
41	2	3	1	9	21	0	2	4	82	36	201
20.4	1.0	1.5	0.5	4.5	10.4	0.0	1.0	2.0	40.8	17.9	