
Single Equality Scheme

2011/12

A progress report for the
year to 31 March 2012

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Foreword

Welcome to Audit Scotland's annual review of our Single Equality Scheme.

Our Single Equality Scheme sets out our commitment to equality of opportunity and to a culture that respects difference. We believe that we have a key role in promoting diversity and equality, both as an employer and public body, but also very importantly through the audit work that we do across the Scottish public sector.

This annual review illustrates the progress we have made over the past year. It covers the efforts we are making to embed the principles of diversity and equality in four main streams of our work: within our organisation; in our work; in our reporting and use of information; and in developing the skills of our staff.

I am pleased that this year's review is able to report on so many areas of achievement, ranging from retaining Two Ticks accreditation and a doubling in the number of disabled job applicants we received, to hosting a staff seminar and publishing four Equality Impact Assessments, to making our offices and our website more accessible.

These are just some of several actions noted in this report, but we are also very aware that we still have further work to do in some areas in order to meet the requirements of the new Equality Act. I trust that you will find that this report provides both the detail of our plans and an assurance of our commitment.



Robert W Black

Auditor General for Scotland and Accountable Officer for Audit Scotland

Introduction

Our role

1. Around 200 public bodies in Scotland spend around £45 billion of public money each year. This includes the Scottish Government, councils, NHS bodies and a wide range of agencies and non-departmental public bodies (NDPBs). The duty of the Auditor General and the Accounts Commission is to help make sure that public money is spent properly, efficiently and effectively.
2. Our role in Audit Scotland is to provide the Auditor General and the Accounts Commission with the services they need to carry out their duties. The Auditor General is independent, reports to the Scottish Parliament and is held accountable for Audit Scotland's work. The Accounts Commission is independent of local authorities and of government and can make reports and recommendations to Scottish ministers. More information about Audit Scotland, the Auditor General and the Accounts Commission can be found on our website (www.audit-scotland.gov.uk).
3. The Auditor General is Audit Scotland's Accountable Officer and has overall responsibility for making sure Audit Scotland is fulfilling the duties set out for public bodies in the Equality Act 2010 ([paragraph 4](#)) and our Single Equality Scheme ([paragraph 6](#)). He works closely with Audit Scotland's Board and its Management Team to oversee our scheme and its associated actions.¹ Our Diversity and Equality Steering Group has been tasked with supporting the mainstreaming of diversity and equality across the organisation and ensuring a coordinated corporate response on equality issues. Each of our business groups is represented on the steering group ([Appendix 1](#)).

We continue to make progress in promoting and mainstreaming diversity and equality

4. This report provides an update on progress with our Single Equality Scheme. The Scheme was published in December 2009 and covers the period 2009-12. The Scheme underpins our work on improving diversity and equality, not only in how we run our organisation but also in how we deliver audit work across Scotland's public sector. We believe that we can play an important role in promoting diversity and equality as an employer and public body, and also through our audits.
5. This report summarises the main developments and improvements within Audit Scotland over the last year and is based on the four themes within our Single Equality Scheme:
 - reviewing our policies and activities
 - building equalities into our work
 - developing our information and reporting
 - improving our skills and confidence.
6. We have continued to make good progress across all four themes although we acknowledge that further work is needed in some areas, particularly in light of the new Equality Act ([see paragraph 7](#)).

¹ Audit Scotland's Management Team is made up of the Auditor General, Assistant Auditor General, Chief Operating Officer and directors.

Summary of key achievements during 2011/12:

- Awarded the Two Ticks disability accreditation for the second year running.
- Received accreditation for web accessibility.
- Organising a seminar by EHRC for staff from across the organisation to raise awareness for the new Equality Act.
- Published four Equality Impact Assessments.

The Equality Act places new duties on public bodies in Scotland

7. The Equality Act 2010 brings together a number of pieces of equality legislation that have been produced over the past 40 years. It also sets out a general duty for public bodies in Scotland, as well as several specific duties which have just recently been endorsed by the Scottish Parliament.² The general duty covers the nine protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, and sexual orientation.

The general duty is to have due regard to the need to:

- eliminate discrimination, harassment, victimisation or any other prohibited conduct
- advance equality of opportunity by having due regard to:
 - removing or minimising disadvantage
 - meeting the needs of particular groups that are different from the needs of others
 - encouraging participation in public life
- foster good relations – tackle prejudice, promote understanding.

8. Over 2012/13, we will work towards putting systems and practices in place to help us meet the specific duties in the new Act, including the development of equality outcomes. The specific duties are summarised in [Appendix 2](#).

² The general duty came into force on 5 April 2011 and the Scottish Parliament endorsed the specific duties on 27 May 2012.

Reviewing our policies and activities

9. We need to make sure that our policies and activities are not discriminatory and that we fully consider diversity and equality issues when developing new, or changing existing, policies and approaches to our work. We aim to make sure that our policies and procedures promote diversity and equality, and that our staff embed equality into their actions and decision-making.

We are continuing to develop ways for our staff to be involved

10. During the summer of 2011, we held a series of 'Connect Conferences'. All our staff met in small groups with senior management to discuss the challenges we face and agree what we need to do to address them. Topics ranged from our organisation's priorities, to our performance in dealing with recent events, to career development opportunities within Audit Scotland.
11. We plan to use a similar approach, using 'knowledge cafés', to engage staff over the coming year in the development of equality outcomes.

We considered equalities when allocating annual audit portfolios

12. In May 2011, the Auditor General and the Accounts Commission agreed the allocation of the annual audit portfolios to Audit Services Group (ASG) and the private firms. The appointments cover the period 2011/12 - 2015/16. In June 2011, ASG set up a working group to develop a policy for allocating audit portfolios to ASG staff in a fair and transparent way. The working group was chaired by the Director of Audit Services and included a range of ASG staff from across our offices and with representation from the following: ASG's Business Improvement Unit (BIU); PCS union; Diversity and Equality Steering Group; ASG's lead on its learning and development plan; and ASG's trainee support manager.
13. The working group developed a set of criteria for the allocation process which took into account a number of factors including the diverse needs of ASG staff. Information about staff profiles and business needs was used to match audits to staff who were given the opportunity to highlight any concerns about their new portfolio of audits. The working group considered issues raised by any member of the ASG team and made appropriate revisions to audit allocations where appropriate. An EIA on ASG's allocation process is published on our website.

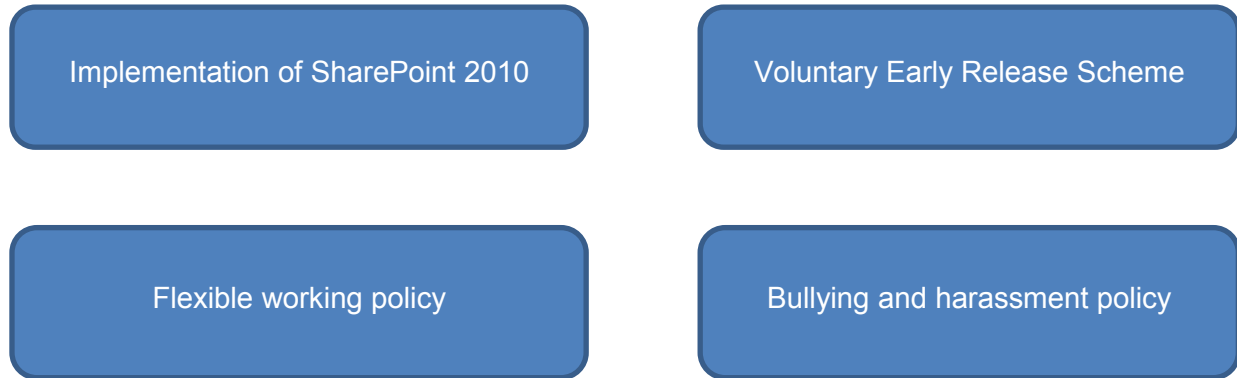
We assess the impact of our policies and activities on different groups

14. Equality Impact Assessments (EIAs) allow us to actively consider the impact our various policies, strategies, activities and approaches to our work may have on different groups, both within and outside our organisation. We have procedures in place to make sure that any issues particular to one equality characteristic are properly addressed in any assessment of their impact on equalities. Staff involved in developing or changing a policy or practice carry out the EIA and then send these on to the Diversity and Equality Group for discussion and approval. All our Equality Impact Assessments are published on our website.

15. Working with each of our five business groups, the Diversity and Equality Steering Group prepares a list of policies and activities for an EIA. We published four EIAs during 2011/12 (Exhibit 1).

Exhibit 1. Equality Impact Assessments, 2011/12

We carried out four EIAs in the last year. All our EIAs are published on our website.



Source: Audit Scotland 2012

16. Over the next year, we will introduce a screening process to help us consider whether policies and approaches should be subject to an EIA. We will also review how we carry out EIAs and the documentation associated with EIAs to make sure they comply with the Equality Act. In addition, we will review the guidance for staff on completing EIAs to make sure it is user-friendly. This work will be led by the Diversity and Equality Steering Group.

We consider equality in our procurement and tendering procedures

17. The Auditor General and the Accounts Commission appoint the auditors for public sector bodies in Scotland. The letter of appointment stipulates that auditors should not discriminate on any grounds. For the tender for 2011/12 to 2015/16, we asked for the first time if tenderers had been judged to have discriminated against any employees on the grounds of gender, race, sexual orientation, disability, religion or belief, age or other grounds. We also requested and received diversity and equality statements from all successful firms. Best practice will be shared with all firms.
18. As well as commissioning audit services from private firms of accountants, Audit Scotland also commissions services such as property services, legal advice and specialist support for our performance audits and best value audits. Contractors are required to confirm that they do not discriminate unlawfully against their employees on grounds of gender, race, sexual orientation, disability, religion or belief or other grounds, as defined and provided for in all relevant legislation (where the contract is for the provision of services); and that they comply with the general principles of EU law regarding non-discrimination, equal treatment, transparency, proportionality and mutual recognition.

Our properties aim to meet the needs of our staff and visitors

19. Audit Scotland leases its properties and all have been subject to accessibility surveys with action plans in place to support recommendations for improvement. Where staff have declared a disability which affects their ability to access and evacuate premises, a personal emergency evacuation plan has been prepared for the individual concerned. In addition, a buddy system has been developed to help people in need of additional support. We have an evacu-chair

facility at our Edinburgh premises at 18 George Street and have trained staff to be able to use this facility to assist staff or visitors who are in a wheelchair.

20. Our property strategy requires us to consider and improve access for all of our staff and visitors, including those with a disability, when we are reviewing property options at times of lease terminations or breaks. During 2012/13, staff in our East Kilbride office will move to a property in Glasgow and one of our criteria for the lease will be that it complies with the Disability Discrimination Act. With our leases on the Edinburgh offices in George Street coming to their end in 2015, we plan to look for a new single property to accommodate our Edinburgh staff. Again, we will make sure that our new property complies with the Disability Discrimination Act. We will carry out an EIA on our property policy during 2012/13.

We have Two Ticks accreditation

21. In January 2012, Audit Scotland was awarded the Two Ticks accreditation for the second year running. The accreditation has helped us generate greater awareness of Audit Scotland among the disabled population through using the disability symbol on adverts and regular appearance in a variety of disability publications and websites. When comparing the number of job applicants with a disability for 2010/11 and 2011/12, we can see that numbers have doubled.

Building equalities into our work

23. When carrying out its audit of public bodies, Audit Scotland considers how they are addressing diversity and equality issues. This section looks at how we have built this into our audit work.

We have embedded equalities into our annual audit planning frameworks

24. Using our Shared Risk Assessment (SRA) approach, we review and assess the corporate activities in Scotland's local authorities in partnership with other scrutiny bodies.³ This involves representatives from each of the scrutiny bodies meeting to decide the key risks within each local authority with the aim of making sure that the regulation, inspection and audit of local authorities are better targeted and more proportionate. Equality is one of the key areas considered as part of this annual process. During 2011/12, EHRC Scotland observed two round-table meetings and provided constructive feedback on how we might more securely embed equalities issues in the SRA process
25. Our audits of Best Value in Scottish public bodies may also consider equalities issues (paragraph 29) and we have published an audit toolkit to support this audit work.⁴ Equalities issues are also considered as part of the annual audit planning process for NHS bodies.

We considered equalities when rolling out the system for electronic working papers

26. We piloted an electronic working paper package system (MKI) and then rolled this out for use in all ASG's annual audits during 2011/12. ASG's BIU was responsible for rolling out the system and considered equalities issues as part of the project planning. Testing was also undertaken by the Digital Accessibility Centre's web accreditation team and the results were reflected as the system was further developed. The BIU is working with a network of MKI champions to support further refinements to the system on an ongoing basis, using comments and queries from staff as they work with the new system.⁵ ASG is preparing an EIA on the development of the MKI package and this will be published during 2012/13.

We consider equalities in our programme of national performance audits

27. We have a rolling programme of national performance audits which aims to be flexible and responsive to the changing public sector environment. Interested parties are now invited to suggest topics for our programme at any time. We make sure we engage with equality

³ The other scrutiny bodies are Education Scotland, Scottish Housing Regulator, HMICS and the Care Inspectorate.

⁴ Best Value audit toolkits are published on our website.

⁵ MKI champions are members of the ASG team whom staff can go to with any queries or comments about how the new system operates.

organisations regularly and have prepared a stakeholder engagement plan which identifies where we need to do additional work with particular groups

28. Our project management framework requires staff to identify the relevant equalities issues when scoping our performance audits and specify any issues in the project brief.^{6 7} Staff are also required to consider equality as a separate issue in our formal project review process which we carry out once an audit is complete. This means that project teams review how well diversity and equality issues were addressed in the audit and identify learning points for future audits that can be shared with the wider team. In 2011, we updated our guidance for staff on how to build diversity and equality issues into our performance audit work to reflect the new Equality Act.

All Best Value audits of local authorities examine arrangements for diversity and equality

29. Considering equalities is integral to the Best Value audit of councils, police and fire authorities. It is a key cross-cutting characteristic of the corporate assessment framework and is embedded in all aspects of the best value framework. All Best Value audit reports on local authorities include a section on the progress made by organisations on equalities.
30. We have published an Equalities Best Value toolkit to support auditors when carrying out Best Value audits of public bodies. The toolkit helps auditors establish the extent to which public bodies' arrangements for diversity and equality are designed to achieve and are actually delivering best value. Organisations may also use the toolkit to inform their own self-assessment processes.

We achieved accreditation for our website

31. In December 2011, we achieved an accreditation for web accessibility from the Digital Accessibility Centre (DAC). We believe that everyone should be able to access our website regardless of any impairment or technical constraint. The process included a dedicated team of users with various disabilities who tested the site using a wide variety of assistive technologies. This ensured all barriers to accessibility were identified and resolved.

⁶ The performance management framework is part of the Performance Audit Group's quality assurance system.

⁷ A project brief is prepared for each performance audit. It sets out the background to the topic under investigation and the objectives, scope and methodology of the audit. Project briefs are published on our website.

Developing our information and reporting

32. It is important that our staff are equipped with up-to-date information about equalities to allow them to work in a non-discriminatory way and to make sure they consider equalities in their audit work. To help mainstream diversity and equality in everything that we do, we have to understand the profile of our staff and reflect on our progress in implementing our Single Equality Scheme.

Our steering group monitors progress with our Single Equality Scheme

33. Our Diversity & Equality Steering Group meets about four times a year. This group monitors progress with our Single Equality Scheme and prepares this annual report. A summary of our activity is also included in Audit Scotland's annual report.
34. Some members of the steering group lead on the protected characteristics ([Appendix 1](#)). This involves them keeping up-to-date with developments about each characteristic and being a source of advice for staff involved in audit work.

We encourage staff to disclose diversity information

35. Our online Human Resources (eHR) system allows staff to manage and update their personal and diversity information via a self-service portal. As part of our annual personal details check, we invite staff to provide information across all the protected characteristics and this enables us to monitor diversity information where this is provided.⁸ This personal information is held securely and confidentially.
36. As part of a review of our latest equal pay report for 2011/12, we noted that a large number of employees were not recording certain diversity information (eg, religion/belief, sexual orientation and transgender status). Therefore, as part of our annual update of personal details in May 2012, we will be undertaking an exercise to encourage employees to share more information with us.

Equality monitoring information for 2011/12

37. In addition to reporting progress against our planned actions in the Single Equality Scheme, we also have a duty to report specific information regarding our employees. This provides a way of checking whether discrimination is evident in our employment practices and makes sure that the main elements of our equal opportunity policies are being implemented effectively.
38. A summary of the equality monitoring analysis is provided below and detailed charts and graphs can be seen at [Appendix 3](#). The information covers the period from 1 April 2011 to 31 March 2012. Our Diversity and Equality Steering Group discusses and reviews any trends identified from this information and agree any areas for further investigation.

⁸ Information about pregnancy and maternity is kept separately by our HR team.

Staff profile

39. [Exhibit 2](#) provides a summary of Audit Scotland's staff profile. Where the population size is less than five, this information has not been disclosed due to confidentiality although it will be kept within our HR department to monitor any trends going forward. Transgender information has not been provided due to the small numbers involved.

Exhibit 2. Audit Scotland's staff profile, 2011/2012

Equality strand	March 2012 (265 staff)	March 2011 (284 staff)	March 2010 (302 staff)	Scottish Population/Employment Data (2010/11)⁹	Comments
Ethnicity	A slight increase in the percentage of minority ethnic group staff to 2.6%.	The representation of ethnic minority staff at AS increased slightly to 2.5% of all staff.	The representation of ethnic minority staff at AS remained the same as in 2009 (1.7%).	People in employment statistics are 96.3% white and 3.7% ethnic minority group.	AS has a lower representation of ethnic minority staff compared to ONS data. However, it is encouraging to see the percentage of ethnic minority group staff increase.
Gender	The representation of males and females is males 49.8% and females 50.2%.	The representation of males and females at AS remained the same as the previous year at 49% and 51% respectively.	The representation of males and females at AS remained the same as in 2009, except that there was an increase of females at senior management level to 52%.	Working age population data shows 51% are female and 49% are male.	AS's overall gender profile is slightly lower than ONS statistics for females and slightly higher for males.

⁹ Annual population survey October 2010 to September 2011, Office for National Statistics (ONS). The exception to this is ethnicity data which are from the Annual population survey October 2009 to September 2010, ONS.

Equality strand	March 2012 (265 staff)	March 2011 (284 staff)	March 2010 (302 staff)	Scottish Population/Employment Data (2010/11)	Comments
Age	The age range split for AS staff is: 16-24 (2.3%) 25-34 (24.2%) 35-49 (45.7%) 50+ (27.9%)	Similar to previous years, the largest percentage of staff were in the 35-49 age range (44.5%). The smallest percentage were within the 16-24 bracket (2.8%). 27.2% of staff were 50+ in age.	Similar to 2009 data, the largest percentage of staff were in the 35-49 age range (43%) and the smallest percentage were within the 16-24 bracket (4%).	People in employment data shows that 17.8% are aged 16-24, 19.5% are 25-34, 32.6% are 35-49 and 30.1% are over 50 years old.	The age profile of AS staff has not changed significantly over the past three years. Compared to ONS statistics, AS has less staff in the 16-24 and 50+ brackets, and slightly more in the 25-34 and 35-49 age brackets.
Disability	The percentage of staff who have declared themselves as having a disability is 3%.	The percentage of staff with a declared disability increased to 5% over the previous year.	The percentage of staff with a declared disability was 4.6%.	People in employment (working age) data shows 10.6% are disabled and 89.4% are not disabled.	AS's overall disability profile is less than the percentage of disabled people in Scotland who are in employment. However, we have noticed an increase in the number of job applications received from disabled applicants. See the recruitment section of this report for further information.
Flexible working	20.4% of staff have a flexible working arrangement, showing an increase on previous years.	The percentage of staff with flexible working arrangements has increased slightly on previous years to 17.6% of staff.	The percentage of staff with flexible working arrangements remains the same as 2009, at 16.2% of all staff.	No ONS data are recorded regarding flexible working arrangements.	It is encouraging that the number of staff on flexible working arrangements has increased again this year and reinforces that AS is an employer who values and promotes flexible working.

Equality strand	March 2012 (265 staff)	March 2011 (284 staff)	March 2010 (302 staff)	Scottish Population/Employment Data (2010/11)	Comments
Sexual orientation	60.8% of staff have declared themselves as heterosexual/straight. 1.9% have said they would prefer not to say and 35.5% have not responded. The remaining 1.9% are either gay or bisexual.	58.8% of staff are heterosexual/straight; 2.1% did not want to disclose this information; 37.7% have not responded to confirm; and the remainder are either a gay man, gay woman or bisexual.	We began collecting this monitoring information late 2010, therefore no previous year comparison is available.	No ONS data are recorded regarding sexual orientation and working age population in Scotland.	This is the second year of recording diversity information relating to sexual orientation. This is a positive step forward although 35.5% of staff have not confirmed any information in this area.
Religion or belief	39.6% of staff have not disclosed any religion. 26% of staff have no religion or stated not applicable; 15.1% are Church of Scotland; 9.8 Roman Catholic; 4.2% prefer not to say; 3.4% other Christian and 1.9% are either Sikh, Jewish or another religion.	14.1% of staff are Church of Scotland; 10.2% are Roman Catholic; 3.5% Other Christian; 3.9% prefer not to say; 25.4% said not applicable/no religion; and 41.2% have not responded to confirm.	We began collecting this monitoring information late 2010, therefore no previous year comparison is available.	No ONS data are recorded regarding religion/belief and working age population in Scotland.	This is the second year of recording diversity information relating to religion/belief. This is a positive step forward although 39.6% of staff have not confirmed any information in this area.

Recruitment

41. 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. We compare what we are doing with other organisations
42. [Exhibit 3](#) outlines our position in terms of ethnicity, gender, age, disability, religion/belief and sexual orientation in relation to internally and externally advertised vacancies during the period 1 April 2011 to 31 March 2012. These results should be interpreted carefully given the number of applications where no information has been provided.

Exhibit 3. Recruitment 2009/10 - 2011/12

Equality strand	2011/2012	2010/11	2009/10
Ethnicity	Of the applications received (388), 18.3% were from an ethnic minority group. 3.2% of all shortlisted applicants and 2.2% of all appointments were for ethnic minority group individuals. As a % of applications received, 5.6% minority ethnic group applicants were shortlisted and 1.4% appointed (compared to 38.1% and 14.4% of white applicants).	Of the applications received (129), 26.4% were from an ethnic minority. 5.1% of these applicants were taken forward at shortlisting stage. No ethnic minority candidates were appointed. As a % of applications received, 38% white applicants were shortlisted, and 5.9% of minority ethnics were shortlisted.	Of the applications received (465), 14.4% were from an ethnic minority. 14% were taken forward at shortlisting stage. No ethnic minority candidates were appointed.
Gender	We received more applications from males (58%) than females (40.7%). 36.1% of applications received from females were shortlisted and 17.1% appointed. This compares to 29.3% and 8.4% for males.	Similar to the previous year, we received more applications from males (62%) versus females (36%). 38.3% of applications received from females were shortlisted and 14.9% were appointed. This compares to 23.8% and 11.3% of applications from males.	This year we received more applications from males (65.2%) than females (29.9%). 42.4% of applications received from females were shortlisted and 5% were appointed. This compares to 32% and 7.9% of applications from males.
Age	Most applications (42%) were received from those within the age range 25-34. 30.9% were received from those aged 35-49, 19.3% for 16-24 and 6.7% for those over 50. The highest % of applications shortlisted and appointed from those received were for those aged 25-34, followed by 50+, 35-49 and 16-24.	The majority of applications received were from candidates aged 16-24 and 25-34. Fewest were 50+ years old. As a percentage of applications received, more candidates aged under 25 were appointed than those aged 50+.	The majority of applications received were from candidates aged 25-34. Fewest were 50+ years old. As a percentage of applications received, more candidates aged under 25 were appointed than those aged 50+.

Equality strand	2011/2012	2010/11	2009/10
Disability	<p>2.1% of applications received were from those who declared themselves as having a disability. As a % of applications received, 25% of those with a disability were shortlisted and 12.5% appointed. This compares to 32.1% and 11.9% for those without a disability.</p>	<p>3.1% of applications were received from people who declared themselves as having a disability. 50% of applications from those with a disability were shortlisted, compared to 28.5% without a disability. No appointments were made to candidates with a disability.</p>	<p>Five applications were received from people who declared themselves as having a disability (1.1% of all applications). 40% of applications from those with a disability were shortlisted, compared to 35.5% without a disability. No appointments were made to candidates with a disability.</p>
Religion	<p>Most applications were received from those who stated n/a or no religion (44.3%), followed by Church of Scotland (17.8%) and Roman Catholic (12.9%). Fewest applications were received from those who were Buddhist or Jewish. As a % of applications received, the highest % of those shortlisted and appointed were Jewish followed by Church of Scotland.</p> <p>No Buddhist, Hindu, or Muslim applicants were appointed.</p>	<p>Most applications were from those who stated 'n/a' or 'no religion', followed by Church of Scotland and Roman Catholic. Fewest applications were received from those who were Jewish or Buddhist. As a percentage of applications received, the highest percentage of those shortlisted were from Church of Scotland (44.4%). No candidates who applied and were Jewish, Buddhist, Hindu, or Muslim were offered appointments.</p>	<p>Most applications were from those who stated either 'n/a' or 'no religion', followed by Church of Scotland and Roman Catholic. Fewest applications were from those who stated 'Other religion', Jewish and Buddhist. No appointments were made to candidates in these categories. As a percentage of applications received, the highest percentage of those shortlisted were for Sikh (75%) and 'No religion' (62.3%).</p>
Sexual orientation	<p>91.2% of all applicants stated they were heterosexual/straight. 3.4% stated prefer not to say; 2.8% provided no information and 2.6% stated gay man, gay woman or bisexual.</p> <p>Analysis beyond this is not given here due to small numbers in some categories.</p>	<p>Too few applications have been received from each category to be able to report this information.</p>	<p>Too few applications have been received from each category to be able to report this information.</p>

Promotions

43. During the period 1 April 2011 to 31 March 2012, 20 employees were promoted and 21 employees were in receipt of an acting up or additional responsibility allowance. The majority of these opportunities were for white employees. [Exhibit I at Appendix 3](#) shows promotions, acting up and additional responsibility opportunities by gender over the last four reporting periods. During 2011/12, 53.7% of promotions and acting up/additional responsibilities were for females and 46.3% for males. The majority of these opportunities were for those within the age bracket 35-49 and on a standard working pattern (19.5% were for those with flexible working arrangements).

Performance appraisal and development

44. An individual's performance is assessed annually against the core competencies for their role at a formal Performance Appraisal and Development (PAD) meeting. Performance is scored using a 1-3 scale with 1 being highly effective performance and 3 indicating that improvement is required. Members of the fixed point salary group are not included in the figures in [Appendix 3](#).¹⁰ Recent new starters are also not included.
45. All required staff members received a completed PAD review by 31 March 2012. A breakdown of PAD scores by ethnicity, disability or age has not been provided for this report due to the small numbers involved in each category. Detailed charts and tables showing the distribution of PAD scores across the organisation and distribution by gender can be seen in [Exhibits J and K at Appendix 3](#).

Training

46. Our HR system keeps a record of corporate staff training organised through HR.¹¹ A review of these training records for the period 1 April 2011 to 31 March 2012 shows:
- training was recorded as having been undertaken across 28 different training areas (42 in 2010/11)
 - 138 employees (52% of all employees as at 31 March 2012) are recorded as having received formal training during 2011/12. This includes 71.4 per cent of Audit Scotland's minority ethnic employees and 51.6 per cent of all white employees
 - 72 females (52.2% of all employees who received training) and 66 males (47.8 % of all employees who received training) received training. This represents 54 per cent of all females and 50 per cent of all males at 31 March 2012.

¹⁰ Directors and assistant directors are members of the fixed point salary group.

¹¹ This does not represent all training activity so this section should be interpreted carefully. Currently, HR captures only formal corporate training events and initiatives organised through the HR department. However, this does not represent all training activity. A large amount of learning and development takes place informally or is taking place at a business group level but is not captured, recorded or evaluated through our HR system. A key focus for HR during 2012/2013 is to explore how our current system can be used to capture all learning and development. During 2012/13, the HR department will be exploring whether individuals can enter their own learning and development activity through our e-HR system.

47. Those who received training during 2011/12 by age category is shown below:
- 16-24 (2.4%) - this represents 66.7 per cent of all staff in this age category at 31 March 2012.
 - 25-34 (34.1%) - this represents 73.4 per cent of all staff in this age category at 31 March 2012.
 - 35-49 (42.8%) - this represents 48.8 per cent of all staff in this age category at 31 March 2012.
 - 50+ (20.3%) - this represents 37.8 per cent of all staff in this age category at 31 March 2012.
48. 116 employees with standard working patterns received some form of training compared with 22 employees working on a flexible basis. This represents 55 per cent of all those working standard hours and 40.7 per cent of all those working on a flexible basis.
49. Our corporate Time Recording System has recorded an average of 8.26 days training per employee during 2011/12. This includes all formal and informal learning and development (including corporate training, local training, conferences, coaching and on-the-job training, reading and personal development and performance management team training). Corporate and local training records show an average of 4.2 days per person.

Leavers

50. During 2011/2012, 13 people resigned from the organisation (34 leavers in total including, for example, the expiry of fixed term contracts, voluntary early release and career breaks). [Exhibit L at Appendix 3](#) shows leavers (resignations only) by gender. Just over twice as many females than males resigned during 2011/12. The majority of resignations during the period were on standard working patterns. Resignations were received from staff across all age bands, except for 16-24. The majority of leavers fell within the age category 25-34, followed by 35-49 and 50+. Due to the small numbers involved, we are unable to report on other diversity strands.
51. The turnover figure for the year ending 31 March 2012 is 12.4 per cent (34 leavers¹² / average 275 staff x 100).^{13 14} This is slightly higher than the previous year, which was 8.8 per cent. The turnover figure for voluntary leavers only (voluntary early release and resignations) over the same period is 10.5 per cent (4.7 per cent for resignations only).
52. 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. A member of the HR team reviews every form. If there are areas of concern, they will be followed through appropriately, whether relating to diversity and equality concerns or on any other basis.

¹² Almost half of these individuals (16 people /47%) left through our 2011 voluntary early release scheme.

¹³ The turnover figure is calculated in line with Chartered Institute of Personnel and Development guidance and takes account of all leavers throughout the year. The calculation is: total number of leavers during year ÷ average number of staff employed during the year x 100. Internally, we also look at turnover calculations for voluntary leavers only, ie unplanned turnover.

¹⁴ This compares with average figures of 8.5% (public services), 13.8% (private sector services), manufacturing and production (9.3%) and voluntary, community and not-for-profit (13.1%) - 2011 Annual Survey on Recruitment, Retention and Turnover, Chartered Institute of Personnel and Development.

We compare what we are doing with other organisations

53. We are keen to learn about good practice in relation to diversity and equality and develop networks with other public bodies. This is important as we do not have any dedicated staff to support our activity in this area. Members of our Diversity and Equality Steering Group attend meetings of the NDPB Equality Forum to hear about experiences and approaches in other public bodies. We also meet regularly with EHRC Scotland to discuss what we are doing internally to mainstream equalities and also how we are addressing equalities in our audit work.

We continue to develop our knowledge management processes to improve how we share information across our organisation

54. We introduced new technology, SharePoint 2010, during 2011 to electronically store all our corporate information, consolidate our information storage arrangements and improve search facilities. Age and disability can be related to a number of medical conditions that can impact on the needs of computer equipment. SharePoint 2010 provides a single point of access to all corporate information via a web browser, which can be customised for each individual user's needs through size of font and high contrast or via a simplified layout suitable for screen readers. An EIA of the implementation of SharePoint 2010 was carried out during 2011/12.

We have supported other public bodies in their scrutiny of diversity and equality

55. Audit Scotland has provided feedback to the EHRC on a suite of non-statutory guidance that it is preparing in relation to the new equality duties for Scottish public bodies. This guidance covers topics such as equality outcomes and the public sector equality duty, involvement and the public sector equality duty, and assessing impact and the public sector equality duty.
56. In summer 2011, we took part in the second EHRC round-table discussion on tackling inequalities in Scotland last summer. We also participated in the EHRC consultation event on its strategic plan in November 2011.
57. In addition, Audit Scotland contributed to the Scottish Parliament's Equal Opportunities Committee's round-table evidence session on the Scottish Government Draft Budget 2012/13 in October 2011. This session placed particular emphasis on race and religion/belief, whilst also considering equalities issues more generally.

Improving our skills and confidence

58. To help embed diversity and equality in Audit Scotland, it is important that our staff have the confidence and skills to consider and address equalities issues. This can be achieved through formal training but also through considering our actions and behaviours.

Diversity and equality are embedded in our Performance Appraisal and Development framework

59. Our staff Performance Appraisal and Development (PAD) framework is built on the following priorities:
- Feedback – making Audit Scotland a place where giving and receiving feedback about our performance occurs readily, frequently and constructively.
 - Results – maintaining and developing our existing strength in the delivery of results to time, quality and cost standards.
 - Behaviours – intensifying our focus upon how we can deliver the results so that we can maintain sustainably high performance by means of the new competency framework.
60. Every member of staff has an annual appraisal meeting with their line manager to discuss their performance over the past year and agree objectives for the coming year, including areas for development. All PAD meetings were completed and PAD forms passed to our HR department by the end of March 2012.
61. In May each year, the HR team reviews a sample of PAD forms to identify trends and any areas for improvement. This review covers setting objectives, quality of feedback, highlighting any diversity and equality issues, consistency of scores and common training needs. The results are discussed with the PAD business group leads and reported to the management team in each business group for consideration and appropriate action. The 2012 review did not highlight any issues of concern in relation to equality and diversity.

We are raising awareness of diversity and equality within our organisation

62. Raising awareness of the importance of diversity and equality forms part of our induction process for new members of staff joining the organisation. One of the key elements of this includes an online diversity and equality training module. The training module has been updated to make sure that all new members of staff are aware of the changes to equalities legislation as part of the Equality Act.
63. During 2011, we arranged for EHRC Scotland to hold a seminar for us about the new Equality Act. This event was well attended, with representation from the five business groups and our Management team. During 2012/13, we will run further events for staff to raise awareness of the new General and Specific Duties and to encourage discussion about what this means for how we conduct ourselves, what it means for those with people management responsibilities and how we can promote equality of opportunity across Audit Scotland. Over the course of

2012/13, the steering group will look for other opportunities to help raise staff awareness about diversity and equality issues, building on our links with other organisations.

Our steering group helps staff understand diversity and equality issues

64. Each of our five business groups has a representative on the Diversity and Equality Steering Group and they are an important link between corporate and business group developments and activity. They make sure that the steering group is kept up-to-date with progress in mainstreaming diversity and equality across the whole organisation and can act as a source of advice for our staff on diversity and equality issues. The business group representatives make sure that they give feedback to their teams on what is happening at a corporate level.
65. The steering group has a diversity and equality page on our intranet, ishare. This provides details of the group's membership and links to related information that may be of interest to staff. Members of the group are assigned responsibility for protected characteristics or business group leads. This allows staff to contact the relevant member of the group with any queries or requests for information.

There are wider opportunities for staff to be involved in corporate and other working groups

66. To support Audit Scotland's drive to become more efficient and effective through improving its business support systems, a Corporate Programmes Group has been formed to make sure that significant corporate development activities and projects across the organisation are coordinated and resourced. This working group is led by the director of Corporate Programmes and includes staff from the Corporate Services Group. It works with staff from across Audit Scotland to deliver corporate programmes such as implementing SharePoint 2010 and reviewing our strategy for learning and development.
67. The Business Improvement Unit (BIU) within Audit Services Group makes sure that its development activities and projects are coordinated, resourced and mainstreamed in achieving corporate priorities. The BIU works closely with the Corporate Programmes Group to make sure the direction and work of each group are aligned. ASG staff working within its BIU are rotated periodically to provide opportunities for more staff to become involved in corporate work. The BIU maintains a database to capture staff interest and involvement in corporate work. On occasions where additional resources are required for corporate or BIU work, the BIU will contact staff depending on skills and experience recorded on the database. As part of this process, the BIU considers current involvement of staff prior to allocation to encourage corporate work to be distributed across the group. Involvement opportunities are also advertised through Audit Services Group's update bulletins which invite staff to volunteer for areas where there is a shortage of resources.

Appendix 1. Diversity and Equality Steering Group

Name	Business Group	Role
Lilian Brown	Performance Audit Group	Secretariat
Angela Canning	Performance Audit Group	Chair
John Gilchrist	Audit Strategy Group	ASg lead on equality and DESG lead on Race
James Gillies	Corporate Services Group	CSG lead on equality, and DESG lead on Marriage and civil partnership
Alison McAdam	Audit Services Group	DESG lead on Disability and Gender
Lesley McGiffen	Best Value and Scrutiny Improvement Group	BVSIG lead on equality, and DESG lead on Age and Gender reassignment
Fiona Mitchell Knight	Audit Services Group	ASG lead on equality
Lorna Skirving	Best Value and Scrutiny Improvement Group	PCS union representative
Jennie Slessor	Corporate Services Group	DESG lead on Pregnancy and maternity and Religion and belief
Kirsty Whyte	Performance Audit Group	PAG lead on equality, and DESG lead on Sexual orientation
Louisa Yule	Audit Services Group	Member

Diane McGiffen, Chief Operating Office, is Management Team's sponsor for this corporate group.

Appendix 2. Summary of specific duties

Specific duties for Scottish public bodies
Report progress on mainstreaming the equality duty
Publish equality outcomes and report progress
Assess and review policies and practices
Gather and use employee information
Publish gender pay gap information
Publish statement on equal pay etc
Consider award criteria and conditions in relation to public procurement
Publish in a manner that is accessible etc
Consider other matters which may be specified from time to time by Scottish ministers

Appendix 3. Our staff profile

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

Ethnicity

Exhibit A: Ethnicity profile

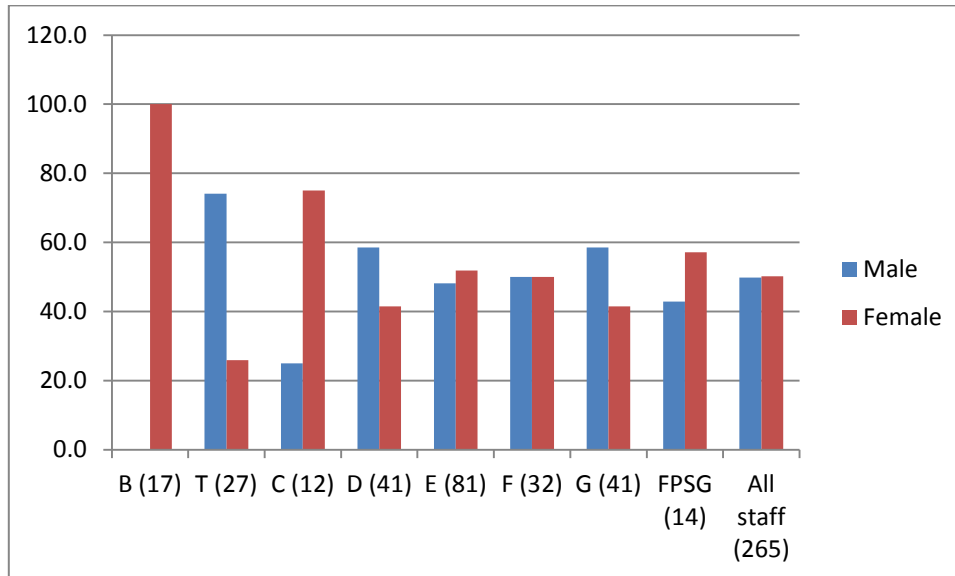
Ethnicity	Audit Scotland staff					Working age population in Scotland (%-09/10) ¹⁵	People in employment in Scotland (% - 09/10)
	Mar-08	Mar-09	Mar-10	Mar-11	Mar-12		
White	98.6	98.3	98.3	97.5	97.4	96.3	96.3
Minority ethnic	1.4	1.7	1.7	2.5	2.6	3.7	3.7

Source: Audit Scotland & Annual Population Survey October 2009 – September 2010, ONS

¹⁵ This is the latest available data from ONS on ethnicity. Annual population statistics for ethnicity (2010 and 2011) have been withdrawn following difficulties relating to changes in questions asked. This is currently being investigated and updated statistics should be available for the next year.

Gender

Exhibit B: Gender profile by grade (%)



Note: figures in brackets show the total number staff in each grade¹⁶

Source: Audit Scotland

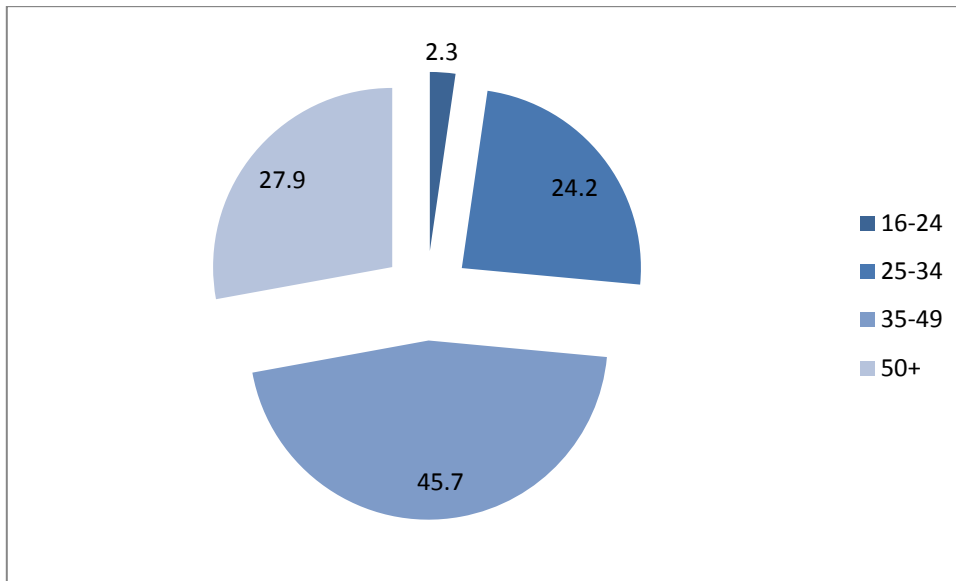
Exhibit C: Gender profile 2006-2012

Gender	Audit Scotland staff						Working age population in Scotland (%-10/11)
	December 2006 (%)	March 2008 (%)	March 2009 (%)	March 2010 (%)	March 2011 (%)	March 2012 (%)	
Male	52.2	50.5	49	49	49	49.8	49
Female	47.8	49.5	51	51	51	50.2	51

Source: Audit Scotland & Annual Population Survey October 2010 – September 2011, ONS

¹⁶ B - administrators; T - trainee auditor; C - specialists; D - senior specialists; E - auditors; F - managers; G - senior managers; FPSG - fixed point salary group (directors and assistant directors).

Exhibit D: Age profile, March 2012



Source: Audit Scotland

Age

Exhibit E: Age profile 2009 – 2012

Age	March 2009 (%)	March 2010 (%)	March 2011 (%)	March 2012 (%)	People in employment in Scotland (2010/11) (%)
16-24	4.3	3.6	2.8	2.3	17.8
25-34	27.5	26.8	25.5	24.2	19.5
35-49	42.4	43.4	44.5	45.7	32.6
50+	25.8	26.2	27.5	27.9	30.1

Source: Audit Scotland and Annual Population Survey October 2010 to September 2011, ONS

Flexible working

Exhibit F: Alternative working arrangements by gender, ethnicity and age (2008 to 2012)

Audit Scotland operates a flexi time scheme and flexible working policy to enable staff to strike a better balance between their home and work responsibilities.

	March 2008 (%)	March 2009 (%)	March 2010 (%)	March 2011 (%)	March 2012 (%)
Male	11.4	10.8	9.5	17.6	22.2
Female	88.6	89.2	90.5	82.4	77.8
White					
White	97.1	97.3	97.6	98.0	98.1
Minority Ethnic					
Minority Ethnic	2.9	2.7	2.4	2.0	1.9

Age ranges	March 2009 (%)	March 2010 (%)	March 2011 (%)	March 2012 (%)
16-24	0.0	0.0	0.0	0.0
25-34	19.0	28.6	22.0	16.7
35-49	47.6	40.8	48.0	57.4
50+	33.3	30.6	30.0	25.9

Source: Audit Scotland

Recruitment

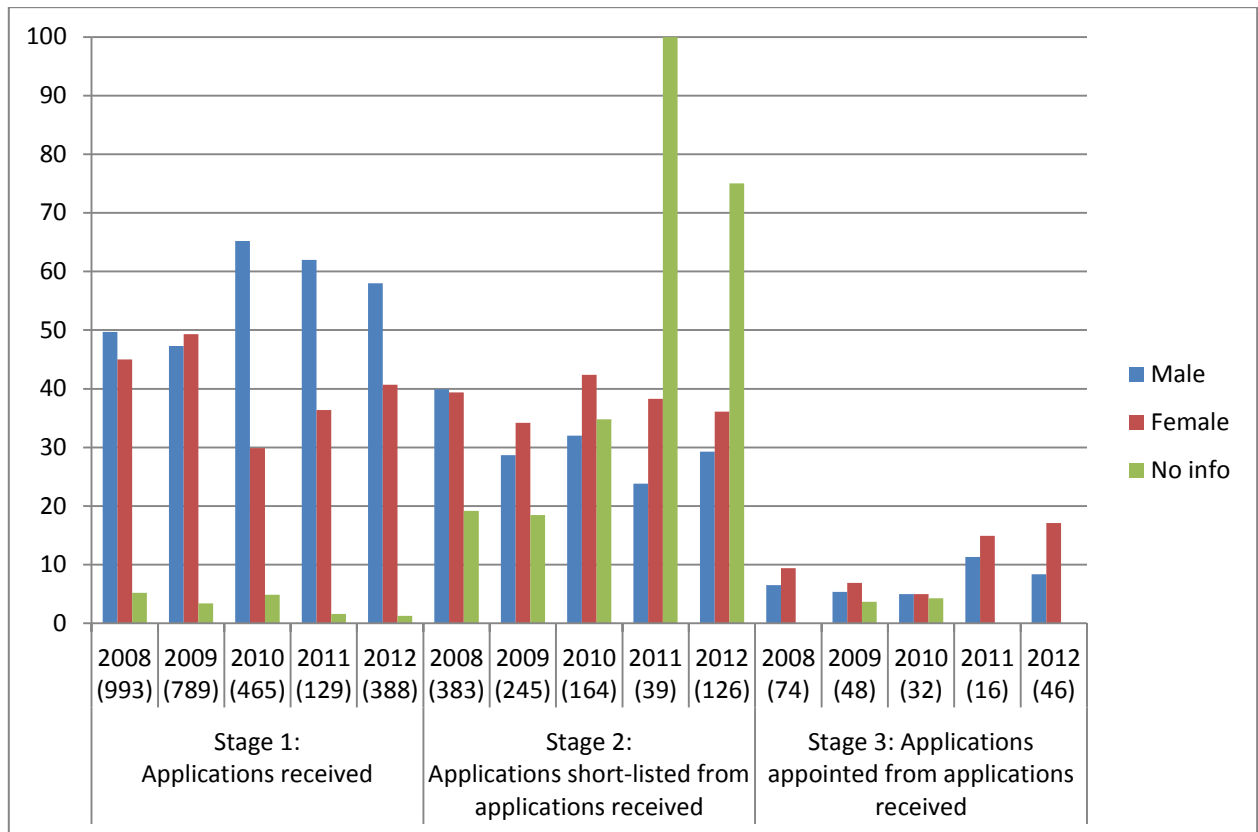
Exhibit G: Recruitment during the period April 2011 and March 2012

	Stage 1: Applications received		Stage 2: Applications short-listed		Stage 3: Applications appointed	
	No.	%	No.	%	No.	%
Ethnicity						
White	312	80.4	119	94.4	45	97.8
Minority ethnic	71	18.3	4	3.2	1	2.2
No information provided	5	1.3	3	2.4	0	0.0
Gender						
Female	158	40.7	57	45.2	27	58.7
Male	225	58.0	66	52.4	19	41.3
Prefer not to say	1	0.3	0	0.0	0	0.0
No information provided	4	1.0	3	2.4	0	0.0
Disability						
Yes	8	2.1	2	1.6	1	2.2
No	377	97.2	121	96.0	45	97.8
No information provided	3	0.8	3	2.4	0	0.0
Age						
16-24	75	19.3	10	7.9	4	8.7
25-34	163	42.0	65	51.6	29.0	63.0
35-49	120	30.9	39	31.0	10	21.7
50+	26	6.7	9	7.1	3	6.5
No information provided	4	1.0	3	2.4	0	0.0

Religion	Stage 1: Applications received		Stage 2: Applications short-listed		Stage 3: Applications appointed	
	No.	%	No.	%	No.	%
Church of Scotland	69	17.8	28	22.2	11	23.9
Roman Catholic	50	12.9	12	9.5	6	13.0
Other Christian	31	8.0	5	4.0	3	6.5
Buddhist	1	0.3	0	0.0	0	0.0
Hindu	5	1.3	0	0.0	0	0.0
Muslim	22	5.7	0	0.0	0	0.0
Jewish	2	0.5	1	0.8	1	2.2
Sikh	0	0.0	0	0.0	0	0.0
N/a / No religion	172	44.3	64	50.8	22	47.8
Another religion	4	1.0	2	1.6	0	0.0
Prefer not to say	28	7.2	11	8.7	3	6.5
No information provided	4	1.0	3	2.4	0	0.0

Source: Audit Scotland

Exhibit H: Recruitment comparisons by gender 2008 – 2012



Source: Audit Scotland

Promotions

Exhibit I: Promotions and acting up/additional responsibility opportunities by gender

	Acting up/Additional Responsibility/Promotions									
	Mar 2008		Mar 2009		Mar 2010		Mar 2011		Mar 2012	
	No	%	No	%	No	%	No	%	No	%
Male	7	28.0	6	28.6	15	50.0	11	45.8	19	46.3
Female	18	72.0	15	71.4	15	50.0	13	54.2	22	53.7

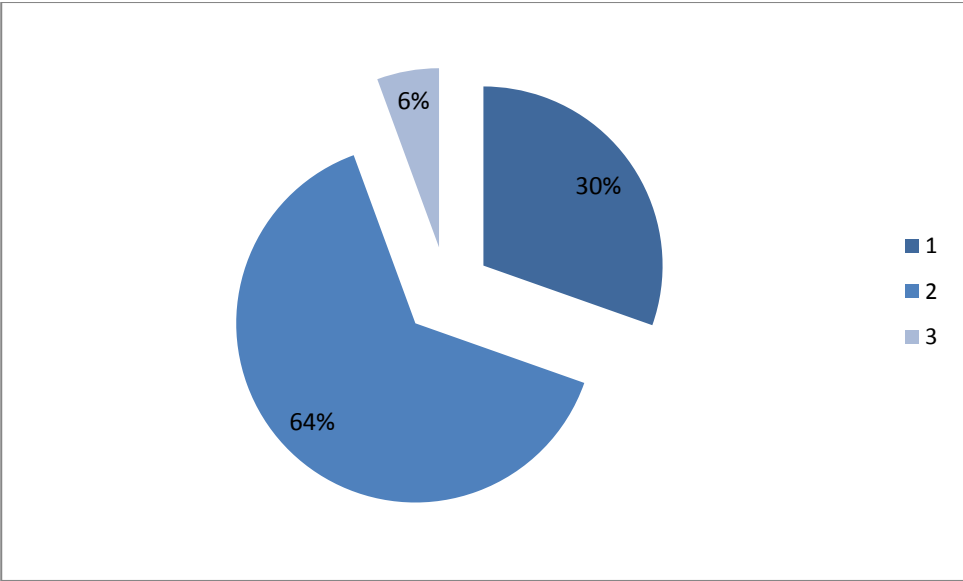
Source: Audit Scotland

Disciplinary Action and Grievances

There were less than five disciplinary and grievance cases during the period April 2011 to March 2012. Internal monitoring carried out by our HR team does not show any disproportionate bias across the diversity strands.

Performance appraisal & development

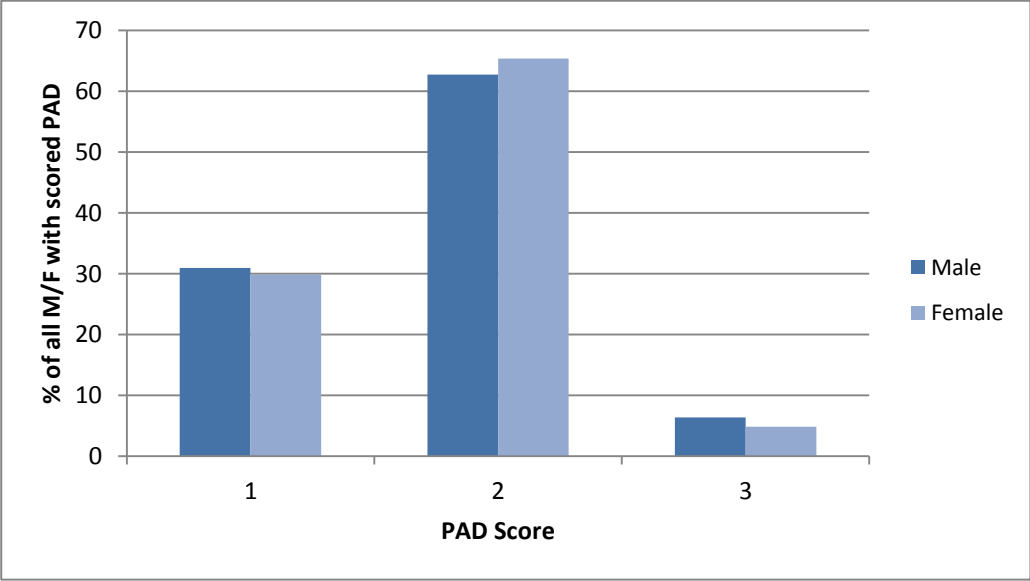
Exhibit J: Total PAD scores



1 = Highly effective; 2 = Effective; 3 = Improvement required

Source: Audit Scotland

Exhibit K: PAD performance scores by gender



1 = Highly effective; 2 = Effective; 3 = Improvement required

Source: Audit Scotland

Leavers

Exhibit L: Leavers (resignations) by gender

	2008		2009		2010		2011 ¹⁷		2012	
Gender	No.	%	No.	%	No.	%	No.	%	No.	%
Male	10	50	10	71.4	6	43	7	38.9	4	30.8
Female	10	50	4	28.6	8	57	11	61	9	69.2

Source: Audit Scotland

¹⁷ 2011 figures have been corrected to show resignations only. The 2010/11 annual report showed figures for all leavers.

Single Equality Scheme

2011/12

A progress report for the
year to 31 March 2012



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