



Financial Services Authority

# Equality and diversity workforce data report

2009-2010





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## Introduction

Here, we (the Financial Services Authority – FSA) present our 2009-10 equality and diversity workforce data report. As a public body, the FSA is required to meet the employment monitoring duties for race, gender and disability. At the time of data reporting, we had a duty to promote equal opportunities across the protected characteristics of race, gender and disability.

We recognise there are valuable benefits to be gained from collating and analysing workforce monitoring data. We will use this data to inform changes we make as part of our Single Equality Scheme action plan, which can be found at [www.fsa.gov.uk/pubs/other/ses.pdf](http://www.fsa.gov.uk/pubs/other/ses.pdf). We are keen to achieve our diversity objectives in the next few years – monitoring, reviewing and updating our performance annually, taking action accordingly.

The FSA is committed to embedding equality, diversity and inclusion in all its activities. Producing this report has informed us on the progress still needed, and we are strongly committed to taking the necessary steps which will put the FSA at an even better position as an employer and regulator.

## Scope

This report provides an overview of our employment equality monitoring data for the FSA as at 31 March 2010.

The data relates only to individuals employed directly by the FSA on a permanent or fixed term basis and those applying for directly employed positions.

We are reporting on gender, disability and race. During 2010 we have updated our systems to capture monitoring information on sexual orientation and religion/belief, and

we will be reporting on this next year. We are also building our reporting requirements to include details on gender identity/reassignment. These changes will allow us to undertake better analysis going forward, which will in turn guide our future steps, help measure outcomes and inform progress.

The data relates only to individuals employed directly by the FSA on a permanent or fixed term basis. We ask employees to complete an equality monitoring form when joining the FSA, and ask them to review and update their data annually. We have used this information to create the workforce equality profile for the organisation.

We use the following categories in our employment data.

## Gender

This is recorded as male or female.

## Race

Ethnicity data is categorised according to the classification criteria used in the Census 2001 information. This is in line with the Code of Practice on Ethnic Monitoring published in May 2002. The classifications are as follows:

- A: **White** – British; Irish or any other White background.
- B: **Mixed** – White and Black Caribbean; White and Black African; White and Asian or any other Mixed background.
- C: **Asian or Asian British** – Indian; Pakistani; Bangladeshi or any other Asian background.
- D: **Black or Black British** – Caribbean; African or any other Black background.
- E: **Chinese or other Ethnic group** – Chinese or any other Ethnic Group.

In the current report, we also have categories ‘Unclassified’ and ‘No Data Held’. Those who have chosen not to identify themselves as belonging to one of the ethnic groups or who opted not to respond would be grouped under one of these categories. For the next reporting period, the option ‘Prefer not to say’ will be added.

## Disability

Employees were asked whether they considered themselves to be disabled under the definitions of the Disability Discrimination Act 2005.

## Reporting principles

We do not report on categories in which the sample size is fewer than ten people; this is in order to protect the anonymity of our employees. With the same concern in mind, we have therefore provided all data by percentages.

Percentages are shown in whole numbers, so totals may exceed 100% due to rounding.

## Reporting periods

The current report covers the financial year starting in April 2009 and ending in March 2010. All previous reporting periods follow the same parameters, except if lack of data did not allow it to happen and, in these occasions, we inform accordingly.

## Reporting by gender

### Staff in post

Table 1 shows the gender profile of the FSA for 2008/2009 and 2009/2010.

**Table 1: Staff in post**

Gender classification	2008/09	2009/10
Female	51%	50%
Male	49%	50%

The FSA female representation is above the UK economically active women population, which is 45%, although the overall population representation is 55%.

### Applications for employment

Table 2 shows the gender breakdown of applicants for roles with the FSA for 2009/2010.

**Table 2: Applications for employment**

Gender classification	2009/10
Female	21%
Male	35%
Unknown	44%

A high number of applicants did not answer the questions on our confidential Diversity Monitoring form, resulting in a high margin of error when analysing the information.

### Promotions

Table 3 shows the gender breakdown of staff who have been promoted, i.e. had a change in contractual job grade over the years 2008/2009 and 2009/2010.

**Table 3: Promotions**

Gender classification	2008/09	2009/10
Female	44%	51%
Male	56%	49%

The 2009/2010 data shows a more equal ratio of promotions, aligned with the FSA gender breakdown.

### Training courses attended

Table 4 shows the gender breakdown of training courses attended and booked through our centralised training system.

**Table 4: Training courses attended and booked through our centralised training system**

Gender classification	2008/09	2009/10
Female	49%	48%
Male	51%	52%

These figures broadly reflect the FSA gender breakdown.

### Appraisal ratings

Table 5 shows the distribution of ratings awarded as a result of the annual appraisal of employees between the years 2008/2009 and 2009/2010.

The ratings definitions are as follows:

- 1-Below standard;
- 2-Meets standard;
- 3-Exceeds standard; and
- 4-Exceptional.

**Table 5: Appraisal ratings**

Appraisal rating	2008/09	2009/10
AR 1	1%	1%
AR 2	63%	62%
AR 3	32%	33%
AR 4	4%	4%

We report on the percentage of staff receiving each rating. It should be noted that the 'population' of staff receiving appraisal ratings will differ to the number of staff in post due to timing issues and staff on probation and notice periods not being included in the data.

### Low performers (1 rating)

Table 6 shows the proportion of staff by gender receiving a '1' rating for the years 2008/2009 and 2009/2010. Staff receiving a '1' rating are not eligible to have their pay reviewed, nor are they eligible to be considered for an annual incentive award. Staff who receive a '2' rating or above are eligible for inclusion in the pay review (which includes consideration for an annual incentive award).

**Table 6: Low performers (1 rating)**

Gender classification	2008/09	2009/10
Female	1%	1%
Male	1%	1%

### High performers (3 and 4 rating)

Table 7 shows the proportion of staff by gender receiving a '3' or '4' rating for the years 2008/2009 and 2009/2010. Staff receiving a '3' or '4' rating are eligible for inclusion in the pay review.

**Table 7: High performers ('3' and '4' rating)**

Gender classification	2008/09	2009/10
Female	34%	36%
Male	38%	38%

The proportion of women receiving a '3' or '4' performance rating has increased by 2% between 2008/2009 and 2009/2010. The FSA overall rate of ratings '3' and '4' is 37% and the proportion of women remains slightly behind men at 36% versus 38%, respectively.

### Involuntary leavers

Table 8 shows the proportion of involuntary leavers by gender. Involuntary reasons for leaving include, for example, redundancy, dismissal and retirement.

**Table 8: Involuntary leavers**

Gender classification	2008/09	2009/10
Female	58%	24%
Male	42%	76%

NOTE: Due to the low population in this measure, the percentage breakdowns should be interpreted with caution.

### Voluntary leavers

Table 9 shows the proportion of voluntary leavers by gender.

**Table 9: Voluntary leavers**

Gender classification	2008/09	2009/10
Female	48%	50%
Male	52%	50%

While the numbers of voluntary leavers are relatively low, the proportion of female and male leavers reflects the workforce distribution.

### Involvement in grievances

Table 10 shows the proportion of employees who raised grievances, grouped by gender.

Please note that the data for 2008/2009 shows involvement in grievances for the period August 2008 to March 2009. Before this, we did not record this data centrally.

**Table 10: Involvement in grievances**

Gender classification	2008/09	2009/10
Female	74%	79%
Male	26%	21%

NOTE: Due to the low population in this measure, the percentage breakdowns should be interpreted with caution.

### Subject of disciplinaries

Table 11 shows the gender of employees who have been the subject of disciplinary procedures.

It should be noted that the data for 2008/2009 shows involvement in disciplinaries for the period August 2008 to March 2009. Before this, we did not record this data centrally, nor did we split it into categories for ‘disciplinaries’ and ‘disciplinaries where there was a risk of asset loss’.

**Table 11: Subject of disciplinaries**

Gender classification	2008/09	2009/10	
		Disciplinary	Risk of loss of assets
Female	46%	42%	46%
Male	54%	58%	54%

NOTE: Due to the low population in this measure, the percentage breakdowns should be interpreted with caution.

### Benefit or detriment as a result of a *Performance Improvement Plan*

Table 12 shows the gender of employees who have been the subject of performance improvement procedures.

Please note that the data for 2008/2009 shows involvement in Performance Improvement Plans for the period August 2008 to March 2009. Before this we did not record this data.

**Table 12: Benefit or detriment as a result of a Performance Improvement Plan**

Gender classification	2008/09	2009/10
Female	10%	40%
Male	90%	60%

NOTE: Due to the low population in this measure, the percentage breakdowns should be interpreted with caution.

## Reporting by race

### Staff in post

Table 13 shows the ethnic demographic profile of the FSA as at 31 March at the end of the reporting period.

**Table 13: Staff in post**

Ethnic origin classification	2005/06	2006/07	2007/08	2008/09	2009/10
White	76%	76%	77%	78%	80%
Mixed	2%	2%	2%	2%	2%
Asian/Asian British	7%	7%	7%	7%	8%
Black/Black British	3%	4%	4%	4%	4%
Chinese/other	2%	2%	2%	2%	2%
Unclassified	11%	10%	9%	7%	1%
No data held					3%

Data from the UK Census 2001 shows the white population is 92.1% and 71.2% for London. During the reporting period for 2009/2010, the FSA shows a declared population of Black, Asian and Minority Ethnic BAME employees of 16%, double the national average of 8% but below London's 28.9% BAME representation. It is relevant to observe that, despite being predominantly based in London, the FSA provides a nationwide service, and employs and attracts professionals from across the country.

## Applications for employment

Table 14 shows the ethnic profile of applicants for roles with the FSA between the years 2006 and 2010.

**Table 14: Applications for employment**

Ethnic origin classification	2005/06	2006/07	2007/08	2008/09	2009/10
White	42%	34%	33%	37%	34%
Mixed	2%	2%	2%	2%	2%
Asian/Asian British	12%	10%	9%	11%	11%
Black/Black British	6%	6%	8%	6%	5%
Chinese/other	4%	2%	2%	2%	2%
Unclassified	34%	47%	48%	43%	1%
No data held					44%

Forty-five per cent of all candidates record their ethnicity as 'Unclassified' or provide no data ('No data held'). This indicates that a significant proportion of equality monitoring data is not being submitted, which limits data interpretation. Despite that, in all reporting periods, at least 20% of the candidates applying for jobs at the FSA identified themselves as BAME.

## Promotions

Table 15 shows the ethnic profile of internal applicants who were promoted at the FSA between the years 2006 and 2010.

**Table 15: Promotions**

Ethnic origin classification	2005/06	2006/07	2007/08	2008/09	2009/10
White	72%	90%	79%	81%	87%
Mixed	2%	1%	3%	2%	0%
Asian/Asian British	11%	1%	7%	5%	10%
Black/Black British	5%	1%	3%	2%	0%
Chinese/other	0%	0%	3%	1%	2%
Unclassified	11%	6%	7%	10%	0%
No data held					1%

The figures above summarise the number of changes to contractual job grade, i.e. those who have been promoted, between the years 2006 to 2010 and excludes movement within the same grade.

There has been a significant drop in the rate of those not providing us with data about their ethnicity; this will have resulted in changes in the other categories. The rate of BAME employees promoted during the 2009/2010 reporting year is 2% higher than the previous period, at 12%, which is below the FSA BAME population. The 'White' category has shown an increase of 6%. Within the BAME groups, the proportion of promoted Asian/Asian British staff has increased to 10% but Black/Black British and Mixed groups have shown no promotions in the same period.

### Training courses attended

Table 16 shows the ethnic profile of attendees on training courses booked through our centralised training system, during 2009/2010.

**Table 16: Training courses attended and booked through our centralised training system**

Ethnic origin classification	2005/06	2006/07	2007/08	2008/09	2009/10
White	72%	71%	71%	78%	80%
Mixed	2%	2%	2%	2%	2%
Asian/Asian British	6%	6%	7%	7%	8%
Black/Black British	3%	3%	4%	4%	4%
Chinese/other	2%	2%	2%	2%	2%
Unclassified	15%	16%	15%	7%	1%
No data held					2%

The ethnic breakdown of employees attending training booked through our centralised system reflects the ethnic demographics of staff in post at the FSA.

### Appraisal ratings

*See distribution of appraisal ratings between the years 2006 to 2010 on page 6.*

### Low performers (1 rating)

Table 17 shows the proportion of staff (by ethnic origin) receiving a '1' rating between the years 2006 to 2010. Staff receiving a '1' rating are not eligible for inclusion in the pay review. Staff who receive a '2' rating or above are eligible for inclusion in the pay review (which includes consideration for an annual incentive award).

**Table 17: Low performers (1 rating)**

Ethnic origin classification	2005/06	2006/07	2007/08	2008/09	2009/10
White	1%	1%	1%	1%	1%
Mixed	4%	2%	4%	0%	2%
Asian/Asian British	2%	3%	2%	2%	1%
Black/Black British	2%	3%	2%	4%	3%
Chinese/other	3%	5%	3%	2%	0%
Unclassified	2%	3%	2%	1%	0%
No data held					2%

NOTE: Due to the low population in this measure, the percentage breakdowns should be interpreted with caution.

### High performers ('3' or '4' ratings)

Table 18 shows the proportion of staff (by ethnic origin) receiving a '3' or '4' rating between the years 2006 to 2010. Staff receiving a '3' or '4' rating are eligible for inclusion in the pay review.

**Table 18: High performers i.e. those receiving a '3' or '4' rating**

Ethnic origin classification	2005/06	2006/07	2007/08	2008/09	2009/10
White	26%	25%	26%	39%	39%
Mixed	18%	13%	21%	38%	21%
Asian/Asian British	17%	16%	16%	26%	30%
Black/Black British	11%	10%	10%	16%	23%
Chinese/other	12%	5%	11%	29%	43%
Unclassified	21%	21%	18%	31%	28%
No data held					35%

Chinese, Black and Asian groups have all seen an increase in the proportion of those achieving 3s and 4s of 14%, 7% and 4%, respectively, between 2008/2009 and 2009/2010. The Mixed category has seen a 17% decline since 2008/2009, returning to the 2007/2008 rate of 21%.

### Involuntary leavers

Table 19 shows the proportion of involuntary leavers by ethnic origin. Involuntary reasons for leaving include, for example, redundancy, dismissal and retirement.

**Table 19: Involuntary leavers**

Ethnic origin classification	2005/06	2006/07	2007/08	2008/09	2009/10
White	67%	68%	67%	55%	86%
Mixed	1%	2%	1%	3%	0%
Asian/Asian British	7%	6%	6%	9%	0%
Black/Black British	6%	6%	4%	3%	5%
Chinese/other	2%	1%	1%	0%	0%
Unclassified	17%	17%	20%	30%	5%
No data held					5%

NOTE: Due to the low population in this measure, the percentage breakdowns should be interpreted with caution.

### Voluntary leavers

Table 20 shows the proportion of voluntary leavers by ethnic origin.

**Table 20: Voluntary Leavers**

Ethnic origin classification	2005/06	2006/07	2007/08	2008/09	2009/10
White	65%	75%	75%	73%	77%
Mixed	2%	3%	2%	4%	3%
Asian/Asian British	11%	6%	9%	11%	9%
Black/Black British	6%	3%	4%	1%	3%
Chinese/Other	3%	2%	2%	2%	3%
Unclassified	14%	11%	8%	9%	1%
No data held					4%

While the numbers are still relatively low, the proportion of leavers by ethnic origin has not changed significantly since last year.

NOTE: Due to the low population in this measure, the percentage breakdowns should be interpreted with caution.

### Involvement in grievances

Table 21 shows the proportion of grievances by ethnic origin.

Please note that the data for 2008/2009 shows involvement in grievances for the period August 2008 to March 2009. Before this, we did not record this data centrally.

**Table 21: Involvement in grievances**

Ethnic origin classification	2008/09	2009/10
White	42%	75%
Mixed	11%	0%
Asian/Asian British	5%	4%
Black/Black British	26%	13%
Chinese/other	0%	0%
Unclassified	16%	8%

NOTE: Due to the low population in this measure the percentage breakdowns should be interpreted with caution.

## Subject of disciplinary

Table 22 shows the ethnic origin of employees who have been the subject of disciplinary procedures.

The data for 2008/2009 shows involvement in disciplinarys for the period August 2008 to March 2009. Before this, we did not record this data centrally, nor did we split the data into categories for ‘disciplinarys’ and ‘disciplinarys where there was a risk of asset loss’.

Employees going through more than one stage of the disciplinary procedure are counted more than once. This will have an impact on the final report, so we will review this approach for the next reporting period.

**Table 22: Subject of disciplinarys**

Ethnic origin classification	2008/09	2009/10	
		Disciplinary	Risk of loss of assets
White	71%	70%	82%
Mixed	2%	0%	2%
Asian/Asian British	13%	9%	7%
Black/Black British	8%	15%	4%
Chinese/other	0%	0%	1%
Unclassified %	6%	0%	2%
No data held %	–	6%	1%

NOTE: Due to the low population in this measure the percentage breakdowns should be interpreted with caution.

## Benefit or detriment as a result of a Performance Improvement Plan

Table 23 shows the ethnic origin of employees who have been the subject of performance improvement procedures.

**Table 23: Benefit or detriment as a result of a Performance Improvement Plan**

Ethnic origin classification	2008/09	2009/10
White	30%	69%
Mixed	10%	4%
Asian/Asian British	40%	7%
Black/Black British	0%	11%
Chinese/other	0%	1%
Unclassified	20%	1%
No data held %		6%

NOTE: Due to the low population in this measure the percentage breakdowns should be interpreted with caution.

### Reporting by disability

Employees were asked whether they considered themselves to be disabled under the definitions of the Disability Discrimination Act 2005.

Fewer than 1% of our employees have told us they consider themselves to have a disability. It is possible that this number is under-reported. We have not provided a breakdown of this category as the small size of the sample could lead to individuals being identified.

### Recommendations

Preparing this report has identified that we need to continue our work in respect to diversity. Although this is not a comprehensive list, we will focus our attention on carrying out further work to:

- Encourage more comprehensive declarations from staff in relation to their diversity status, while improving our reporting. This will help us to more clearly identify problems and monitor progress (aligned with the Single Equality Scheme action 25).
- Work with candidates and recruitment agencies to increase the rate of equality monitoring forms being submitted (aligned with the Single Equality Scheme action 25).
- Work towards raising awareness of disability among employees, potential candidates and managers (aligned with the Single Equality Scheme actions 12, 16, 17 and 18).

- Identify the factors that attract candidates to apply for jobs at the FSA and create an engagement plan which will ensure we attract a diverse pool of candidates with the skills required, (aligned with the Single Equality Scheme action 23).
- Monitor recruitment performance (aligned with the Single Equality Scheme actions 5 and 6).
- Continue monitoring training and promotion breakdowns, ensuring that FSA employees encounter fair opportunities for development and progression (aligned with the Single Equality Scheme actions 5 and 6).
- Identify reasons that explain the performance variation among the different groups, ensuring the appropriate measures are put in place to minimise them (aligned with the Single Equality Scheme actions 5 and 6).
- Continue monitoring and identifying recurrent trends amongst leavers, to identify and amend potential impacting factors (aligned with the Single Equality Scheme actions 5 and 6).
- Analyse reasons for the differences in the rates of grievances, disciplinaries and employees put on Performance Improvement Plans among the diversity strands, developing and implementing a plan of interventions to tackle any potential issues (aligned with the Single Equality Scheme actions 28 and 29).
- Continue conducting Equality Impact Assessments on policies and processes, identifying potential areas of impact on different diversity groups and implementing an action plan (aligned with the Single Equality Scheme actions 1 to 5).
- Implement other actions identified within our Single Equality Scheme and monitor progress (aligned with the Single Equality Scheme action 32).



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