



Financial Services Authority
Annual Diversity Report
2010–2011

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1

Introduction

We are committed to promoting equality, diversity and inclusion in all areas of our work, both as an employer and a regulator.

The dataset published here consists of various breakdowns of our workforce, covering seven of the nine ‘protected characteristics’ identified by the Equality Act 2010. The protected characteristics are: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex and sexual orientation. This year we are not publishing data on gender reassignment or on pregnancy and maternity in our workforce as no data is available. We will aim to rectify this and also to improve the completeness of existing data so that we will have a more comprehensive picture across the protected characteristics.

This report fulfils part of our public sector Equality Duty under the Equality Act 2010.

Our progress this year

To ensure effective governance in this area, we have established an Executive Diversity Committee (EDC) which acts with full authority of the FSA Executive Committee. The EDC supports our diversity programme and includes senior leadership champions for each of our diversity strands.

Over the last year, we have introduced Equality Impact Assessment (EIA) training and diversity training programmes for our staff, as well as specific training and awareness sessions for our senior leadership team.

We have put in place a number of staff networks, a staff representative group and a regular programme of awareness talks and interactive sessions covering different aspects of diversity.

These changes demonstrate our ongoing efforts within the FSA to:

- eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by the Equality Act 2010;
- advance equality of opportunity between people who share a relevant protected characteristic and people who do not; and

1. Introduction

- foster good relations between people who share a relevant protected characteristic and people who do not.

Our aim has been to meet, even to go beyond where possible, our statutory obligations as a public body and we are always looking for areas for improvement.

The Equality Act 2010

The Equality Act came into force from 1 October 2010. This Act simplified existing equalities law into one single source of Statute. The Act also changed and refined certain concepts and definitions, as well as introducing some new provisions such as employers being liable for third-party harassment. In addition to the Act, a new statutory duty (the Equality Duty) came into force in April 2011 and this is applicable to all public sector bodies. Some requirements of the Duty, notably the creation of equality objectives, will come into force from April 2012.

2

Scope

This report provides an overview of our employment equality monitoring data as at 31 March 2011.

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. When we analyse data on leavers, we do not include fixed-term contractors' information.

We do not report on categories in which the sample size is fewer than 10 people. This is to protect the anonymity of employees and/or candidates. With the same concern in mind, we have represented the data in percentage terms. In relation to the protected characteristics, staff self-declaration on our internal systems is low. For this reason, there are several categories on which we have been unable to report.

All percentage figures for 2010/11 are provided to one decimal place. (In previous years, percentages were recorded in whole numbers. Totals may therefore exceed 100%, due to rounding up.)

How we collect the data

We ask employees to complete an equality monitoring form on joining the FSA and to review and update their data annually. We also ask candidates looking to join us to complete a voluntary monitoring form as part of their application process.

New areas of reporting

October 2010 saw the introduction of a new Equality Act. This harmonises and replaces nine separate pieces of previous discrimination law into a single Act.

On the 5 April 2011, the new public sector Equality Duty came into force, replacing the three previous duties on race, disability and gender, bringing them together as a single duty, and extending that duty to cover the protected characteristics.

2. Scope

This year, we report on the following areas under the protected characteristics: age; disability; marital status and civil partnership; race; religion or belief; sex and sexual orientation.

We are also building our reporting requirements to include details on gender identity/reassignment and reviewing capability to collect data on pregnancy and maternity.

Protected characteristics

The nine ‘protected characteristics’ in equality law are:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion or belief
- Sex
- Sexual orientation

See Annex one for definitions of these terms and our usage of them.

How this report is structured

For each of the protected characteristics, this report includes information on:

- Staff profile
- Employment applications and success rates
- Internal promotions
- Training
- Appraisals (including performance ratings)
- Leavers (voluntary and involuntary)

Understanding this report

See Annex two for a definition of terms used in sections 3-11.

It is useful to have read Annex 2 in advance of reading the report or to have it to hand for ease of reference.

3

Reporting on age

3.1 Staff profile

Table 1 shows the age profile for the FSA for 2010/11.

Table 1: Age profile

Age	2010/11
16-24	6.1%
25-34	36.7%
35-44	30.7%
45-54	19.2%
55+	7.3%

As table 1 shows, 67.4% of FSA staff are between 25 and 44 years old.

3.2 Employment applications and success rate

Table 2: Employment applications 2010/11

Age	Applications	Job offers
16-24	5.7%	4.0%
25-34	25.1%	18.8%
35-44	14.2%	8.5%
45-54	7.8%	5.3%
55+	1.6%	1.0%
Prefer not to say & Unknowns	45.6%	62.4%

3. Reporting on age

Table 3: Success rate 2010/11

Age	Success rate
16-24	3.3%
25-34	3.5%
35-44	2.8%
45-54	3.2%
55+	2.9%
Prefer not to say & Unknowns	6.4%
Total success rate for all applicants	4.7%

A high number of candidates did not submit age-related information as part of their application, so it is not possible to analyse this data in a meaningful way.

3.3 Internal promotions

We are not reporting in this category as some age groups have less than ten people.

3.4 Training

The age profile of staff who attended training reflects the FSA age profile.

3.5 Appraisals

Low performers

We are not reporting in this category as some age groups have less than ten people.

High performers

Table 4: High performers

Age	2010/11
16-24	25.9%
25-34	32.1%
35-44	30.2%
45-54	29.7%
55+	20.2%

3. Reporting on age

3.6 Leavers

Involuntary leavers

We are not reporting in this category as some age groups have less than 10 people.

Voluntary leavers

Table 5: Voluntary leavers 2010/11

Age	Voluntary leavers	Total FSA population
16-24	5.1%	6.1%
25-34	48.3%	36.7%
35-44	32.4%	30.7%
45-54	9.9%	19.2%
55+	4.3%	7.3%

4

Reporting on disability

4.1 Staff profile

Staff and candidates were asked if they identified themselves as disabled under the definitions of the Equality Act 2010. Please see Annex 1 for further information.

1.6% of FSA staff identified themselves as disabled, which is below the UK disabled population of 18% and the UK economically active disabled population of 9%.

4.2 Employment applications and success rate

A high number (44.1%) of job candidates chose not to give any information in relation to disability. From the data available it can be seen that those who identified themselves as disabled had a lower success rate than those who identified themselves as non-disabled.

Table 6: Success rate from application to job offer 2010/11

Disability classification	Non-disabled	Disabled	Prefer not to say & Unknown	Total FSA population
Success rate	3.4%	2.4%	6.3%	4.7%

We are currently introducing the [Positive About Disabled People](#) scheme and will monitor its impact.

4.3 Internal promotions

As the number of employees who were promoted and identified themselves as disabled was less than ten, we will not report in this category in order to protect their identity.

4. Reporting on disability

4.4 Training

There was no difference observed between the proportion of disabled staff who attended training and the FSA disabled profile.

4.5 Appraisals

Low performers

No low performers identified themselves as disabled.

High performers

Table 7: High performers 2010/11

Disability classification	Non-disabled	Disabled	Total FSA population
High performers	29.9%	22.9%	29.7%

Table 7 shows that a lesser proportion of disabled staff received high performance ratings, in comparison with non-disabled staff.

4.6 Leavers

Involuntary leavers

No involuntary leavers identified themselves as disabled.

Voluntary leavers

No difference was observed between the percentage of voluntary leavers who identified themselves as disabled and the FSA disabled profile.

5

Reporting on gender reassignment

No data about gender reassignment was collected during the 2010/11 period.

6

Reporting on marital status and civil partnership

6.1 Staff profile

Staff and candidates were asked to choose from the following options:

- Single;
- Married;
- Partner;
- Civil partnership;
- Divorced;
- Widow; and
- Widower.

To protect the identity of individuals in categories with a small number of respondents, we grouped categories into:

- Single;
- Married/partner/civil partnership; and
- Divorced/widow/widower.

Table 8: Marital status and civil partnership profile 2010/11

Marital status	2010/11
Single	11.8%
Married/partner/civil partnership	30.1%
Divorced/widow/widower	1.3%
Prefer not to say	56.8%

Table 8 shows that 56.8% of respondents chose not to give any information in relation to marital status and civil partnership, meaning the data should be analysed with caution.

6. Reporting on marital status and civil partnership

6.2 Employment applications and success rate

No information on the marital status of job candidates was collected during the 2010/11 period.

6.3 Internal promotions

We are not reporting in this category as some marital status groups have fewer than ten people. Additionally, 58.2% of staff who were promoted chose not to give information on their marital status, limiting data analysis.

6.4 Training

In relation to marital status, no differences were seen between those who attended training and the FSA marital status profile.

6.5 Appraisals

Low performers

We are not reporting in this category as some groups have fewer than 10 people.

High performers

The married/partner/civil partnership group had a slightly larger proportion of high performers in relation to the FSA profile. Other groups were aligned with the FSA profile. However, a high number of staff opted not to give any marital status information, so this data should be analysed with caution.

6.6 Leavers

Involuntary leavers

We are not reporting in this category as some groups have fewer than 10 people.

Voluntary leavers

We are not reporting in this category as some groups have fewer than 10 people.

7

Reporting on pregnancy and maternity

No data about pregnancy and maternity was collected in the 2010/11 period.

8

Reporting on race

8.1 Staff profile

Data on race/ethnicity is classified according to the criteria used in Census 2001. This is in accordance with the Code of Practice on Ethnic Monitoring published in May 2002. The classifications are identified as follows:

- White – British;
- White Irish;
- White – Other;
- Black/Black British – African;
- Black/Black British – Caribbean;
- Black/Black British – Other;
- Asian/Asian British – Indian;
- Asian/Asian British – Pakistani;
- Asian/Asian British – Bangladeshi;
- Asian/Asian British – Other;
- Chinese;
- Other ethnic background;
- Mixed – White and Asian;
- Mixed – White and Black African;
- Mixed – White and Black Caribbean; and
- Mixed – Other.

When the number of people who chose to provide data was small we have either grouped classifications into Black, Asian & Minority Ethnic (BAME); White; Prefer not to say or Unknown, or used the following:

- White – British; Irish or any other White background;
- Black or Black British – Caribbean; African or any other Black background;

8. Reporting on race

- Asian or Asian British – Indian; Pakistani; Bangladeshi or any other Asian background;
- Chinese or other Ethnic group – Chinese or any other ethnic background; or
- Mixed – White and Black Caribbean; White and Black African; White and Asian or any other Mixed background.

This is in order to provide more clarity to the data and/or to protect the identity of respondents.

Table 9: Ethnicity profile

Ethnicity	2005/6	2006/7	2007/8	2008/9	2009/10	2010/11
White	76.0%	76.0%	77.0%	78.0%	80.0%	77.5%
BAME	14.0%	15.0%	15.0%	15.0%	16.0%	18.1%
Prefer not to say	11.0%	10.0%	9.0%	7.0%	4.0%	4.3%

Table 9 shows that the FSA BAME population increased by 2.1% in 2010/11 to 18.1%. It also shows that the number of people choosing to withhold information on their ethnicity has fallen over a six year period.

Table 10: Ethnicity (detailed) 2010/11

Table 10 gives a more detailed view of the ethnicity profile at the FSA for the year 2010/11.

Ethnicity	2010/2011
White – British	63.6%
White – Irish	2.6%
White – Other	11.4%
Black/Black British – African	2.3%
Black/Black British – Caribbean	1.5%
Black/Black British – Other	0.3%
Asian/Asian British – Indian	5.7%
Asian/Asian British – Pakistani	1.4%
Asian/Asian British – Bangladeshi	1.2%
Asian/Asian British – Other	1.2%
Chinese	1.7%
Other ethnic background	0.6%
Mixed – White & Asian	0.6%
Mixed – White & Black African	0.3%
Mixed – White & Black Caribbean	0.4%
Mixed – Other	1.0%
Prefer not to say	4.3%

8. Reporting on race

8.2 Employment applications and success rate

Table 11 shows the ethnicity data for job applicants, and those who progressed to job offer, for the 2010/11 period.

Table 11: Applications and job offers 2010/11

Ethnicity	White	BAME	Prefer not to say & Unknown
Applications	30.9%	23.4%	45.7%
Job offers	28.8%	10.1%	61.1%

Caution is needed when interpreting the data here due to the high rate of ‘prefer not to say’ responses.

Table 12: Success rate 2010/11

Ethnicity	White	BAME	Prefer not to say & Unknown	FSA
Success rate	4.4%	2.0%	6.3%	4.7%

Table 12 shows that white candidates have a much higher success rate than BAME candidates. The recruitment team are investigating the key points of attrition for BAME candidates to identify trends.

8.3 Internal promotions

In 2010/11, 12.5% of staff who were promoted identified themselves as BAME, compared to 18.1% in the total FSA population.

Table 13: Internal promotions 2010/11

Ethnicity	White	BAME	Prefer not to say
Internal Promotions	85.4%	12.5%	2.1%
Total FSA population	77.6%	18.1%	4.3%

8.4 Training

The ethnicity of staff attending training reflects the ethnicity profile of FSA staff.

8. Reporting on race

8.5 Appraisals

Low performers

Table 14: Low performers

Ethnicity	2010/11
White	0.6%
BAME	1.7%
Prefer not to say*	–
Total FSA population	0.8%

* We are not reporting in this group as it contains fewer than ten people.

Table 14 shows that in 2010/11 the percentage of low performers in the BAME group was more than two times higher than that for the total FSA population. We have started a review into the reasons for these results and, if appropriate, will have action plans in place by the end of 2011.

High Performers

Table 15: High performers 2010/11

Ethnicity	2010/11
White	32.7%
BAME	18.3%
Prefer not to say	25.3%
Total FSA population	29.7%

Table 15 shows that BAME staff had a lower proportion of high appraisal ratings.

8.6 Leavers

Involuntary Leavers

We are not reporting in this category as some ethnicity groups have fewer than 10 people.

Voluntary Leavers

The data on voluntary leavers has remained consistent with the FSA ethnicity profile over the last three years.

9

Reporting on religion or belief

9.1 Staff profile

Staff and recruitment candidates were asked to identify themselves under the following religion or belief options:

- Buddhist;
- Christian (including Anglican, Catholic and any other Christian faith group);
- Hindu;
- Jewish;
- Muslim;
- Sikh;
- Other religion; and
- No religion.

Almost 80% of staff and job candidates chose not to declare their religion or belief, so it is not possible to analyse the data in a meaningful way.

Table 16: Religion or belief profile 2010/11

Religion	Buddhist	Christian	Hindu	Jewish	Muslim	Sikh*	Other*	None	Prefer not to say
2010/11	0.7%	11.3%	0.8%	0.3%	0.6%	–	–	7.7%	78.4%

* No data included as these groups have fewer than ten people.

9.2 Employment applications and success rate

75% of job applicants chose not to declare their religion or belief. At the point of job offer 90% of candidates chose not to give this information. The data is, therefore, too limited for meaningful analysis.

9. Reporting on religion or belief

9.3 Internal promotions

Only 14.4% of people who were promoted chose to declare their religion or belief, therefore data is once again too limited for analysis.

9.4 Training

While 78.7% of staff receiving training chose not to declare their religion or belief, within the data available no differences were observed between the religion or belief of those attending training and the FSA religion profile.

9.5 Appraisals

In both the 'low performers' and 'high performers' categories a large proportion of staff chose not to declare their religion or belief, inhibiting data analysis.

9.6 Leavers

Of all leavers (voluntary and involuntary) 98% chose not to declare their religion or belief.

10

Reporting on sex

10.1 Staff profile

Sex is recorded as male or female. Table 1 shows the sex profile of the FSA for the past 3 years:

Table 17: Sex profile

Sex	2008/09	2009/10	2010/11
Male	49.0%	50.0%	50.7%
Female	51.0%	50.0%	49.3%

The FSA female representation is above that of the UK's economically active female population of 45%.

10.2 Employment applications and success rate

A high proportion of job applicants chose not to identify their sex. From the data available we can see that women had a higher rate of conversion from application to job offer, but a greater proportion of applications were from men.

Table 18: Employment applications 2010/11

Sex	Applications	Job offers
Male	34.6%	20.9%
Female	21.1%	19.0%
Prefer not to say & Unknown	44.2%	60.2%

10. Reporting on sex

Table 19: Success rate 2010/11

Sex	Success rate
Male	2.8%
Female	4.2%
Prefer not to say & Unknown	6.6%
Total success rate for all applicants	4.7%

10.3 Internal promotions

Table 20 below shows a slightly higher proportion of males received internal promotions. However, the figures remain broadly consistent with the FSA profile.

Table 20: Internal promotions

Sex	2008/9	2009/10	2010/11
Male	56.0%	49.0%	53.4%
Female	44.0%	51.0%	46.6%

10.4 Training

The proportion of men and women who attended training in the past year did not change significantly from previous years and is consistent with the FSA profile.

Table 21: Training

Sex	2008/09	2009/10	2010/11
Male	49.0%	48.0%	48.2%
Female	51.0%	52.0%	51.8%

10.5 Appraisals

Low Performers

The proportion of males and females who received the lowest performance rating has not changed significantly in the past year.

Table 22: Low performers

Gender	2008/09	2009/10	2010/11
Male	1.0%	1.0%	0.7%
Female	1.0%	1.0%	1.0%
Total FSA population	1.0%	1.0%	0.8%

10. Reporting on sex

High Performers

While there was an overall drop in the number of people who received high performance ratings in the past year, no significant differences were seen when compared according to sex.

Table 23: High performers

Sex	2008/09	2009/10	2010/11
Male	38.0%	38.0%	30.9%
Female	34.0%	36.0%	29.5%
Total FSA population	36.0%	37.0%	29.7%

10.6 Leavers

Involuntary Leavers

We are not reporting in this category as one of the groups contained fewer than ten people.

Voluntary Leavers

This year has seen a slight rise in the proportion of male staff resignations.

Table 24: Resignations

Sex	2008/9	2009/10	2010/11
Male	52.0%	50.0%	56.5%
Female	48.0%	50.0%	43.5%

11

Reporting on sexual orientation

11.1 Staff profile

Staff and job candidates were asked to identify themselves as:

- Heterosexual/straight;
- Gay man;
- Gay woman/lesbian;
- Bisexual; and
- Other.

Due to the small number of respondents, in some instances the Lesbian, Gay and Bisexual categories were combined in one group (LGB).

1.6% of staff identified themselves as LGB, however, 75.8% of staff chose not to respond, limiting data analysis.

Table 25: Sexual orientation profile 2010/11

Sexual Orientation	Heterosexual/Straight	LGB	Prefer not to say
FSA staff & candidates	22.6%	1.6%	75.8%

11.2 Employment applications and success rate

A high proportion of applicants chose not to provide information on their sexual orientation. Of those applicants who identified themselves as LGB, the figures were aligned with the FSA profile.

Table 26: Employment applications 2010/11

Sexual Orientation	Applications	Job offers
Heterosexual/straight	48.3%	31.1%
LGB	1.8%	1.1%
Prefer not to say & Unknown	49.9%	67.7%

11. Reporting on sexual orientation

Table 27: Success rate 2010/11

Sexual Orientation	Success rates
Heterosexual/straight	3.0%
LGB	1.1%
Prefer not to say & Unknown	6.3%
Total success rate for all applicants	4.7%

11.3 Internal promotions

No difference was seen between the proportion of LGB staff receiving promotions and the overall FSA LGB profile.

11.4 Training

No difference was observed between the proportion of LGB staff attending training and the overall FSA LGB profile.

11.5 Appraisals

Low Performers

We are not reporting in this category as some groups have fewer than 10 people.

High performers

The proportion of LGB high performers did not differ greatly from the FSA profile.

11.6 Leavers

Involuntary Leavers

92% of involuntary leavers chose not to provide information on their sexual orientation, restricting data analysis.

Voluntary Leavers

96% of voluntary leavers chose not to provide information on their sexual orientation, restricting data analysis.

12

Next steps

This data is helping us to pinpoint the key areas we need to tackle, or investigate further, in respect of diversity at the FSA.

We will now design an action plan based on the issues we identify, which will include actions to take and delivery dates.

We will consult on this plan with our staff, our stakeholders and the relevant industry representatives and we will use the results to create new diversity objectives, which we plan to publish in 2012.

Annex 1

The protected characteristics

The nine protected characteristics are listed here in alphabetical order and as defined under the Equality Act 2010.

Age

The Act protects people of all ages. However, different treatment because of age is not unlawful direct or indirect discrimination, if a firm can justify it. Age is the only protected characteristic that allows employers to justify direct discrimination.

Disability

The Act has made it easier for a person to show that they are disabled and protected from disability discrimination. Under the Act, a person is disabled if they have a physical or mental impairment which has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities, which would include things like using a telephone, reading a book or using public transport.

To collect this data, employees and candidates were asked whether they identified themselves as disabled under the definitions of the 2010 Act.

Gender reassignment

The Act provides protection for transsexual people. A transsexual person is someone who proposes to, starts or has completed a process to change his or her gender. The Act no longer requires a person to be under medical supervision to be protected – so a woman who decides to live as a man but does not undergo any medical procedures would be covered. It is discrimination to treat transsexual people less favourably for being absent from work because they propose to undergo, are undergoing or have undergone gender reassignment than they would be treated if they were absent because they were ill or injured.

Marriage and civil partnership

The Act protects employees who are married or in a civil partnership against discrimination. Single people are not protected.

When gathering data, we made the following options available:

- Single
- Married
- Partner
- Civil partnership
- Divorced
- Widow
- Widower

Pregnancy and maternity

A woman is protected against discrimination on the grounds of pregnancy and maternity during the period of her pregnancy and any statutory maternity leave to which she is entitled. During this period, pregnancy and maternity discrimination cannot be treated as sex discrimination. The Act forbids an employer from taking into account an employee's period of absence due to pregnancy-related illness when making a decision about her employment.

Race

For the purposes of the Act 'race' includes colour, nationality and ethnic or national origins.

We define ethnicity data according to the criteria used in the 2001 UK Census. This complies with the code of practice on ethnic monitoring published in May 2002. The classifications are:

- 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 the category 'prefer not to say'.

Religion or belief

In the Act, religion includes any religion. It also includes a lack of religion, in other words employees or jobseekers are protected if they do not follow a certain religion or have no religion at all.

We asked staff and candidates if they identified themselves as:

- Buddhist
- Christian
- Hindu
- Jewish

Annex 1: The protected characteristics

- Muslim
- Sikh
- Other religion
- No religion.

Sex

Both men and women are protected under the Act.

We recorded sex as male or female.

Sexual orientation

The Act protects bisexual, gay, heterosexual and lesbian people.

We asked staff and candidates if they identified themselves as:

- Heterosexual/straight
- Gay man
- Gay woman
- Bisexual
- Other

Annex 2

Definition of terms used in this document in sections 3-11

Staff profile

These sections analyse the breakdown of staff in post according to each of the protected characteristics.

Employment applications and success rate

These sections analyse data provided by job applicants. Success rate (also known as conversion rate) is the rate of applicants who were offered a job. It is calculated by dividing the number of candidates who received a job offer by the number of candidates applying for roles.

Internal promotions

These sections refer to internal promotions that resulted in a contractual job grade change.

Training

These sections refer to staff attending internal training.

Appraisals (including performance ratings)

These sections analyse data from the FSA appraisal system.

Under the FSA appraisal system, members of staff achieve an annual performance rating of between 1 and 4:

- 1 means employees are performing below expectation.
- 2 means employees are performing as expected.
- 3 means employees are exceeding expectation.
- 4 means employees are performing at an exceptional standard.

‘Low performers’ refers to employees receiving a ‘1’ rating. ‘High performers’ refers to employees receiving a ‘3’ or ‘4’ rating.

In this document we have presented the data relating to appraisals by showing the percentage of people in each category who are ‘low’ or ‘high’ performers. This is so we can compare year on year. Historically at the FSA, performance data has been reported in this way.

Leavers (voluntary and involuntary)

These sections refer to employees leaving the organisation.

‘Voluntary leavers’ refers to employees who resign. ‘Involuntary leavers’ refers to employees who leave for reasons other than resignation, retirement or at the end of a fixed term contract e.g. dismissal.

