



Department
for Transport

Equality Monitoring Summary 2013/14 Department for Transport

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GOVERNMENT OPERATIONAL RESEARCH SERVICE

In House Analytical Consultancy

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Foreword

DfT is pleased to introduce its annual summary of equality monitoring reports produced by DfT centre and Agencies. The Department recognises that in order to deliver transport that works for everyone and meet its business objectives, staff need to be representative of the diverse communities we serve.

The data enables us to examine trends, identify key issues and explore future action as well as monitoring progress against our objectives. This report is intended to provide people with the “bigger employment picture” in relation to equality monitoring for the DfT throughout the UK.

If you have any queries or comments on the contents of this report, please contact the DfT Corporate Equality and Diversity Team through the following link

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DfT Corporate Equality and Diversity Team

Human Resources Directorate

Chapter 1: Management summary

1.1 Introduction

This report summarises the results of the diversity analyses of the Department for Transport and its Executive Agencies for 2013-14.

The aims of the analyses were to:

- summarise the diversity characteristics of staff and applicants;
- compare the diversity of DfT staff with the diversity of local working-age populations;
- identify differences between diversity groups within DfT; and
- highlight any changes since previous years.

Data on staff, job applicants and leavers, plus performance management, sickness absence, training and grievances and disciplines were analysed to determine whether there were statistically significant differences with respect to protected characteristics.

Characteristics considered were gender, race, disability, pay band, age, sexual orientation, religion and belief, job type and working pattern.

The analysis and data presented in this summary covers the following organisations:

- Driving Standards Agency (DSA);
- Driver Vehicle Licensing Agency (DVLA);
- Highways Agency (HA);

- Maritime and Coastguard Agency (MCA);
- Vehicle Certification Agency (VCA);
- Vehicle and Operator Services Agency (VOSA); and
- Department for Transport Centre (DfT(c)).

The DSA and VOSA have since merged to become the Driver and Vehicle Standards Agency – DVSA - but have been analysed separately for the purposes of this report.

1.2 DfT background

DfT works with its agencies and partners to support the transport network. It plans and invests in transport infrastructure, provides testing and regulation for drivers and vehicles, and implements the Government's transport safety policies.

At the end of the year, two of the Department's Executive Agencies (DSA and VOSA) merged to form a new agency – the Driver and Vehicle Standards Agency.

During 2013/14, the Driver and Vehicle Licensing Agency underwent a modernisation and transformation programme involving the centralisation of some of its functions and the closure of local offices.

1.3 Key findings: Staff numbers

At the end of March, there were 16,373 staff in the central department and its Executive Agencies.

Annex C contains a map showing the geographical distribution of staff.

Between March 2013 and March 2014, the number of staff decreased by just over 1,000 (5.8%). This decrease reverses the slight increase seen last year, and continues the downward trend of the last few years.

1.4 Key findings: Gender

In DfT as a whole, and within each individual agency except DVLA, there were fewer females than males.

Between 2012/13 and 2013/14 there was a slight decrease in both the number and proportion of females in the workforce. The decrease in staff numbers at DVLA accounted for most of this decrease.

There has been no significant trend in the proportion of female staff in DfT as a whole since 2008/09.

In most DfT locations, there were significantly fewer females than expected compared with local working-age populations.

Across DfT, there were differences in the job roles occupied by males and females. Broadly speaking, more males tended to be in specialist roles, such as driving examiners and marine surveyors, whereas females were more likely to be in generalist (administrative) roles.

In every agency, female staff were more likely to be in the lower pay bands, even

after taking account of the different job roles.

Gender was also sometime significant in performance management analysis: female staff tended to have received higher performance ratings than male staff.

1.5 Key findings: Race

Of those who had declared their race, 5.7% declared that they were from a black or minority ethnic (BME) group. In the most recent four years, the proportion of BME staff has been either 5.7% or 5.8%.

The proportion of BME staff varied across DfT, which is partially reflective of differences in the local working-age populations. But in many of the agencies there were fewer BME staff or more white staff than expected at several locations, given the local working-age populations.

However, a large proportion of staff (20%) were of unknown or undeclared race, an increase from the previous year (13%). There was also a trend (from 2008/09) of decreasing race declaration rates in DfT as a whole.

There were no consistent organisation-wide differences between BME staff and white staff or those of unknown race with regard to pay band and job type. But there were some differences in some agencies. In particular, SCS staff were more likely to be white than staff in other pay bands in DfT(c).

Race was sometimes significant in performance management ratings – in those agencies or parts of agencies where a significant result was seen, either white staff were more likely to have received a higher performance rating or BME staff were less likely.

1.6 Key findings: Disability

Of those who had declared their disability status, 10.8% had indicated that they were disabled. This is similar to the figure for last year (11.0%).

There were significant increasing trends in the proportion of disabled staff in several agencies and in DfT as a whole since 2008/09.

However, a large proportion of staff had unknown or undeclared disability status (21.1%) and there was a significant downward trend in declaration rates in DfT as a whole and in most agencies.

In all the agencies except DfT(c) and VCA, there were some individual pay bands indicating that staff in higher pay bands were more likely to be non-disabled (for some job roles).

In many agencies, there were some individual pay bands differences indicating that staff in higher pay bands were more likely to be non-disabled (for some job roles).

In some of the agencies there were differences between job roles with the less specialist job roles having higher proportions of disabled staff than the others.

Disability status was sometimes significant in performance management analysis, but the exact effect varied between agencies – often the main results was that staff with unknown disability status were less likely to have received a higher performance rating.

1.7 Key findings: Age

The age profile of DfT staff tended to be older than local working-age populations. In particular, within most agencies, there were more staff than expected in the 50-

54 age group and fewer staff aged under 25.

In the agencies where there were significant differences between pay bands, staff in higher pay bands tended to be older than those in lower pay bands.

In most agencies, age was a significant factor in performance management analysis – younger staff were more likely to have received a higher performance rating.

1.8 Key findings: Recruitment

Across DfT, there were 28,271 applications for posts and 1,817 people were offered a post during 2013/14.

In many agencies, there were subsets of campaigns (either by location or pay band) that had more male and more BME applicants than expected, when compared with the local working-age populations. There were three subsets of campaigns with more female or white applicants.

Across the agencies, there were some consistent patterns of success through the recruitment process. In particular, BME applicants were often less successful at every stage of the recruitment process. Female applicants were sometimes more successful at sift and older applicants were sometimes less successful at interview.

1.9 Key findings: Performance management

All agencies, except VCA and DVLA, are on a performance management system which awards one of three ratings to the vast majority of staff.

There appear to be some differences in the distribution of performance ratings across the agencies, and also between job roles within some of the agencies.

Looking at the agencies with performance management systems (all except VCA), there were several characteristics that were commonly associated with a higher performance rating.

One of the most significant was sickness absence – staff with more sickness absence were less likely to have received a higher performance mark. Results for gender, race, disability status and age are given in the other sections of this chapter.

1.10 Key findings: Sickness absence

Both the likelihood of having absence and the number of days was analysed for each agency.

Gender, pay band, disability status and age were each found to be significant in more than one agency.

In general: female staff were more likely to have had sickness absence; staff in higher pay bands were less likely to have had sickness absence; disabled staff and older staff tended to have more days of sickness absence.

1.11 Key findings: Other

Working pattern

Overall, 18% of staff worked part time. This number has not changed since last year.

Part-time staff were more likely to be female and older, and there were higher proportions of part-time staff in the more

administrative or office-based roles in some agencies.

Sexual orientation and religion/belief

There was generally too little data to analyse sexual orientation and religion and belief. Of those who had declared, 3% indicated they were Lesbian, Gay or Bisexual and 77% indicated they had a religion or belief.

Cessations

2,466 staff left DfT during 2013/14, 14.2% of the staff in post at the beginning of the year. The vast majority (88.8%) left for “voluntary” reasons.

Age and working pattern were significant characteristics in some agencies – leavers tended to be older and more likely to have worked part-time than the staff in post.

Learning and development

Training data was not consistently available in a form that could be analysed. Details of what has been analysed can be seen in the individual agency reports.

1.12 Information quality

Declaration rates have declined for the primary diversity characteristics (race and disability) in many of the agencies, partly because of a database coding problem affecting several of them. Having high proportions of unknowns may introduce bias into the results.

It was not possible to confidently match training data provided by Civil Service Learning (CSL) to staff data held by agencies for a data analysis. Some agencies hold their own records of learning and, where these exist, they have been analysed; however, it is likely

that the coverage is only partial, and may be biased towards particular job roles.

Data on recruitment, covering all campaigns advertised outside DfT, is held by Civil Service Recruitment. The format has changed this year, and it is no longer possible to determine exactly which recruitment stages a candidate has gone through, although we have identified the primary stages for analysis.

Data on internal moves has not generally been available.

Chapter 2: Introduction

2.1 Equality Monitoring

This report contains an analysis of the diversity of DfT staff for 2013-14.

It considers the diversity of the whole DfT family and collates findings from individual agency reports. The individual reports:

- summarise the diversity characteristics of staff and applicants;
- compare the diversity of staff with the diversity of local working-age populations;
- identify differences between diversity groups within the agency; and
- highlight any changes since previous years.

2.2 Analysis and reporting

This analysis has considered the following areas of diversity:

- Gender
- Race
- Disability
- Age
- Working pattern
- Sexual orientation
- Religion and belief

And for the following datasets:

- Staff in post
- Recruitment
- Cessations

- Performance management reports
- Learning and development
- Disciplinary cases
- Grievance cases
- Sickness absence

It also gives information about maternity leavers and returners.

Unless otherwise stated, results described in this report are based on the outcomes of statistical tests. These tests are used to identify statistically significant differences between groups – that is, differences larger than would be expected due to natural variation.

The presence of a statistically significant result does not imply causation.

Results reported here are those that were significant at the 99% level, unless otherwise stated.

2.3 Data coverage

Data for this report was provided by Human Resources functions in DfT(c) and each agency, and has been summarised in the annex tables provided with this analysis. Recruitment data is held by Civil Service Resourcing, and was provided by the DfT Resourcing Group (DRG), and some training data was provided by Civil Service Learning.

Data related to staff in post at the end of 31st March 2014, and recruitment and cessations between 1st April 2013 and 31st March 2014.

The analysis and data presented in this report covers the following organisations:

- Driving Standards Agency (DSA);
- Driver Vehicle Licensing Agency (DVLA);
- Highways Agency (HA);
- Maritime and Coastguard Agency (MCA);
- Vehicle Certification Agency (VCA);
- Vehicle and Operator Services Agency (VOSA); and
- Department for Transport Centre (DfT(c)).

For the purpose of these reports, Senior Civil Service (SCS) staff in DfT(c)'s agencies have been included along with the SCS in DfT(c).

Staff on long-term leave (for instance long-term sickness absence, secondments, and career breaks) are not included in the analysis, and nor are staff who are not civil servants (e.g. consultants, temporary administrators etc.).

Staff on maternity leave¹ are included in the staff in post dataset for the first time this year, although they are excluded from the training and sickness absence analysis.

Data on staff gender, age, and pay band are held for each member of staff, but data on disability, race, sexual orientation, and religion / belief are voluntarily provided. As a result, and because staff may be unwilling to provide this information, these data often have significant numbers of unknowns or undeclared statuses and, subsequently, analysis was not always possible.

Percentages reported in this analysis are generally based only on staff who have specifically identified their diversity characteristic.

2.4 Data groupings

DfT staff occupy a wide range of posts including administrators, coastguards, driving examiners, marine surveyors, traffic officers, engineers, operational staff, industrial staff, and vehicle inspectors.

Each type of role has its own diversity characteristics, and some summary information relating to particular roles can be seen in this report. More detailed discussions of job type can be found in individual agency reports.

2.5 Data quality and declaration rates

All employees are encouraged to complete an equality monitoring form which records their race, religion or belief, sexual orientation, disability status, age, and gender. The individual information is confidential, but the overall statistics are used to analyse trends and support diversity action plans. DfT is keen to achieve high declaration rates and to exceed 90% for all diversity strands (protected characteristics).

For some characteristics, staff members may actively declare that they “prefer not to say”. In general in this report, they have been classified as having an unknown status.

The table below shows declaration rates both with and without “prefer not to say”.

¹ 192 staff were on maternity leave on 31st March 2014.

Declaration rates for each agency are given in Annex C.

(Age and gender have a 100% declaration rate because this data is automatically available for all employees).

Protected characteristic	Declaration rate	
	Including "prefer not to say"	Excluding "prefer not to say"
Age	100%	100%
Gender	100%	100%
Race	89%	80%
Disability status	82%	79%
Sexual orientation	76%	41%
Religion and belief	71%	33%

High declaration rates are important for robust analysis and results that can be confidently extrapolated to all staff; where there are large proportions of unknowns in the data (either "prefer not to say" or undeclared), if these non-respondents are not representative of all staff, we may introduce bias into the results. For example, a systematic bias may be introduced by the fact that new staff may not have declared their race or disability status yet, and these new staff may also be more likely to be younger, or in lower pay bands. A behavioural bias may be introduced by staff who prefer not to declare any diversity characteristics.

Race declaration

The proportion of staff with a known race has declined, partly because of a database coding problem affecting several of the agencies. A problem with one of the race codes means that it is not possible to determine whether the member of staff is white or BME, and they have been classified as

"unknown/prefer not to say" for the purposes of this report. Work is under way to rectify the problem.

More generally, declaration rates have declined for the primary diversity characteristics (race and disability) in many of the agencies.

Other data quality issues

Training data is held by Civil Service Learning (CSL) on both e-learning and face to face courses provided via CSL. However, it has not been possible to confidently match the records to staff data held by agencies for a statistical analysis. Some of the CSL data includes diversity characteristics, and these have been tabulated where no other information exists.

Some agencies also hold their own records of learning and, where these exist, they have been analysed, although it is likely that the coverage is only partial, and may be biased towards particular job roles.

Data on recruitment, covering all campaigns advertised outside DfT, is held by Civil Service Recruitment. The format has changed this year, and it is no longer possible to determine exactly which recruitment stages a candidate has gone through, although we have identified the primary stages for analysis.

Data on internal moves has not generally been available.

2.6 Data recommendations

Given the importance of high declaration rates, the primary recommendation is to improve **declaration rates** and to ensure that it is at least 80% for each characteristic in each agency (excluding "prefer not to say"). This should include ensuring that the database coding error

relating to race is properly corrected and that, if possible, there is an automatic transfer of diversity data captured during the recruitment process to staff records for new staff.

In addition, equality and diversity leads should continue to work with **Civil Service Learning** to improve the information that is provided. In particular, it should be a requirement that those participating in learning and development register a valid staff number so that their learning records may be matched with information held by departments for diversity purposes.

No **recruitment data** was available for **SCS staff**, and so no analysis was possible. A source for this data should be investigated and found.

No information has been available for several years on **internal moves** within each agency. The Equality and Diversity Audit 2014 recommends an analysis of career progressions, temporary promotions and managed moves. Some analysis would be possible of promotions (including temporary promotions) using data already held, but additional data collections would be needed to capture information on temporary promotions and managed moves.

In addition, the recruitment data held by Civil Service Recruitment would ideally be improved so that it is possible to identify all of the relevant stages a candidate has gone through in the course of the recruitment process. However, this would require structural change to the Civil Service Recruitment database and, as such, is unlikely to be possible, at least in the short term.

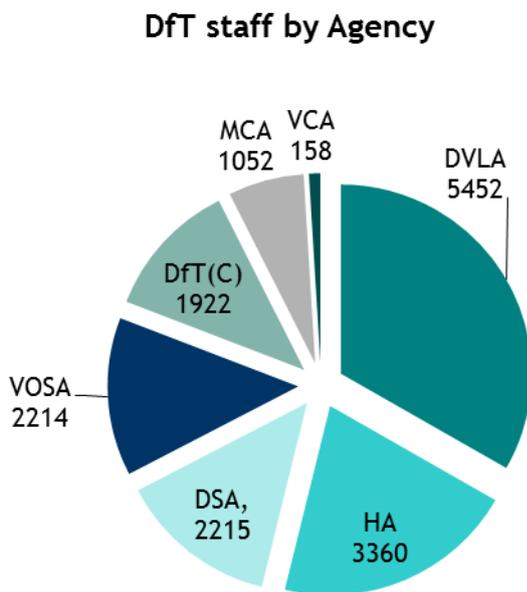
Chapter 3: Statistical summary

This chapter considers the diversity mix across the whole DfT family and describes key results; in particular, those that are common across the family. Further detail is provided in individual agency reports.

For ease of reading, the generic description “agencies” generally also includes DfT(c).

3.1 Overall staff numbers

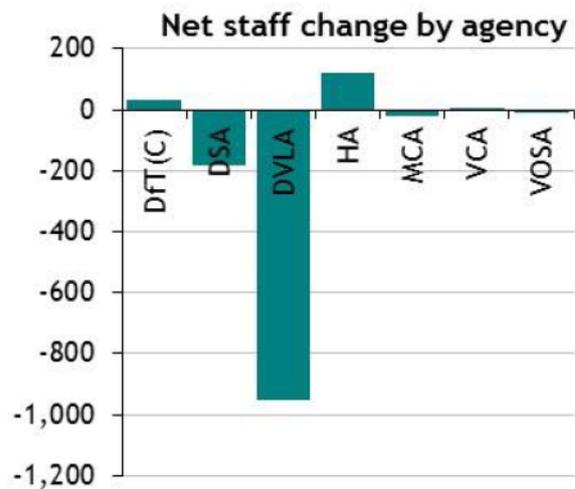
The following chart shows the number of DfT staff by agency on 31st March 2014.



Annex C contains a map showing the geographical distribution of staff.

Since March 2013, the total number of staff in DfT has fallen from 17,382 to 16,373 – a drop of just over 1,000, or 5.8%².

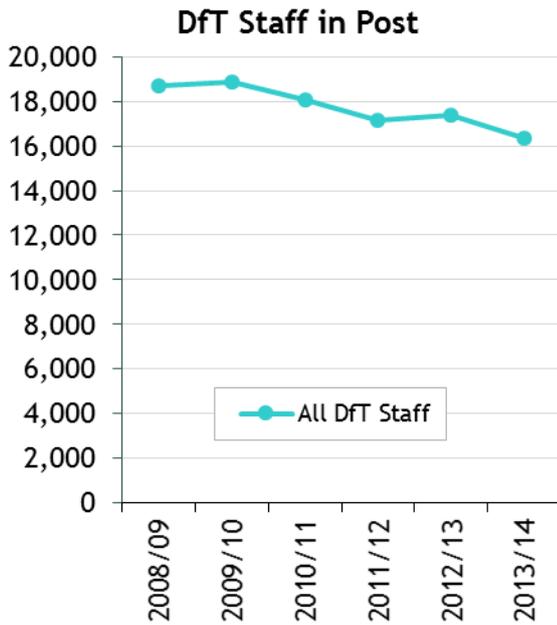
The overall decrease has largely been due to changes in DVLA, which had a net decrease of 951 staff, following its transformation and modernisation programme. Other changes may be seen in the following chart.



The decrease seen in 2013/14 reverses the slight increase seen last year, and continues the downward trend of the last few years.

² We have changed the definition of staff in post slightly to include staff on maternity leave at the end of each year. In addition, corrections to data are made

each year, leading to small changes in staff numbers reported year on year.



Breakdowns of staff numbers by diversity group in DfT(c) and each agency can be seen in the separate annex tables and in Annex C to this paper.

3.2 Maternity leavers and returners

At the end of 2013/14, 192 women were on maternity leave – either ordinary or additional. During the year, 287 had returned from maternity leave.

Last year, 203 were on maternity leave at end March, and 343 had returned during the year.

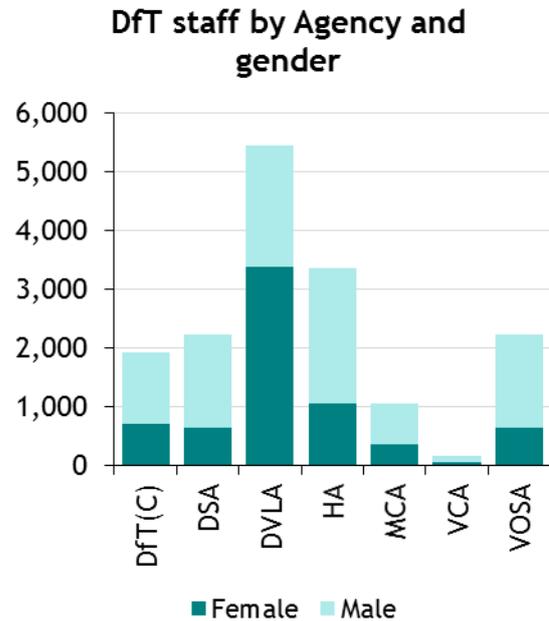
3.3 Results relating to Gender

Gender: Key findings and year on year changes

In DfT as a whole, and within each individual agency except DVLA, there were fewer females than males.

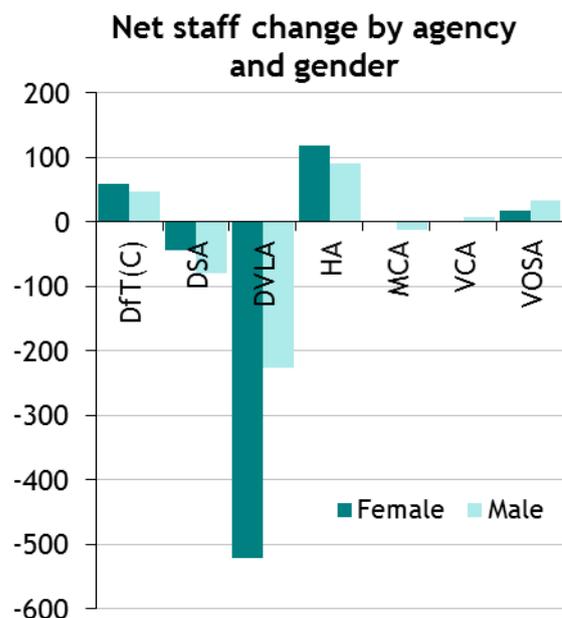
In most agencies, around 30% of staff were female, whereas in DVLA, 62%

were female. DVLA accounted for half of all DfT's female staff.



Between 2012/13 and 2013/14, there was a slight decrease in both the number and proportion of females in the workforce.

6,773 (41%) of DfT staff in post at 31st March 2014, and 7,421 (42%) at 31st March 2013, were female. DVLA accounted for most of this decrease.



There has been no significant trend in the proportion of female staff in DfT as a whole since 2008/09. The only agency that did have a significant trend was VOSA, where the proportion of female staff has been decreasing by -0.4% per year on average.

Gender: DfT relative to local working-age populations

Across most locations within the Department, there were significantly fewer females than expected compared with local working-age populations.

There were some exceptions, mainly at the locations with more generalist or administrative staff. In particular, there were more females in DSA's Nottingham and Newcastle offices, and across DVLA.

In addition, the gender split of staff was not significantly different from the local working-age population at: VOSA's Berkeley House and Ellipse offices; DfT(c)'s Hastings office; MCA's Spring Place and Highcliffe offices; and most of HA's non-traffic officer service. The split was also not significant in HA's West Midlands traffic officer region.

Gender: Differences within the staff population

Across DfT, there were differences in the job roles occupied by males and females. Broadly speaking, more males tended to be in specialist roles, such as driving examiners and marine surveyors, whereas females were more likely to be in generalist (administrative) roles. A table of staff by gender and job role is in Annex C.

Much of the analysis considered job roles separately, because the characteristics of the staff within each role tended to be different. In some cases there were also different pay band

structures, meaning that the analysis across pay bands was more meaningful when the job roles were considered separately.

In all parts of the DfT family there was at least one significant finding indicating that female staff were more likely to be in the lower pay bands, even after taking account of the different job roles.

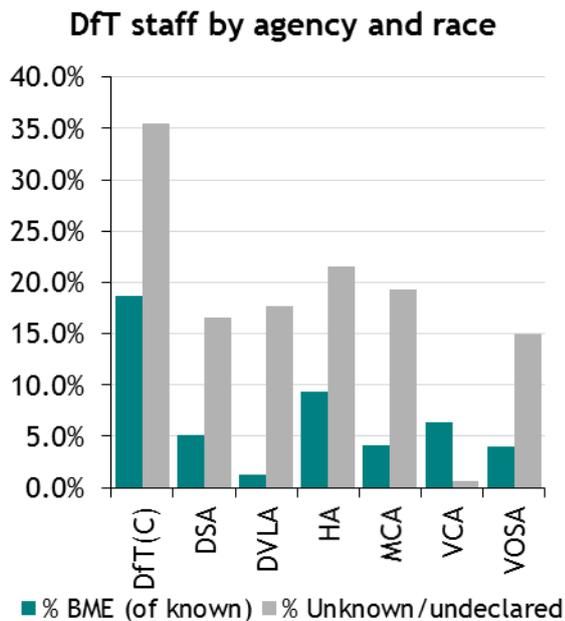
Across DfT, females were significantly more likely than males to work part time.

3.4 Results relating to Race

Race: Key findings and year on year changes

Of those who had declared their race, 5.7% declared that they were from a black or minority ethnic (BME) group.

The proportion of BME staff (of those who declared) varied across DfT: DfT(c) had the highest proportion (18.6%) and DVLA had the lowest proportion (1.2%). This is partially reflective of the differences in the locations of the agencies and the proportions of BME people in the local working-age populations. For example, we would expect to see a higher proportion of BME staff in London than elsewhere, because there is a higher proportion of BME in the local population.



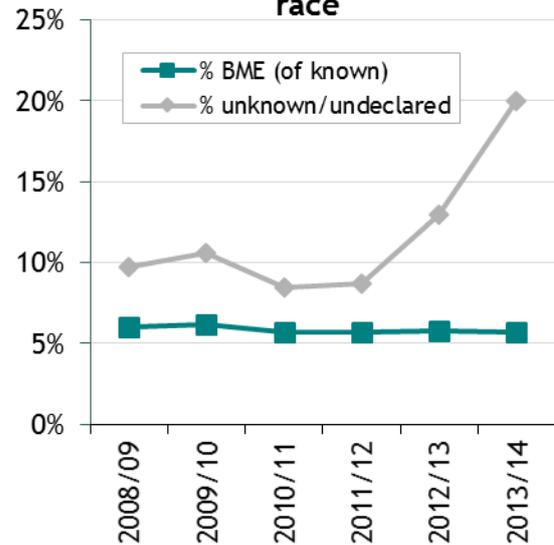
However, a large proportion of staff (20%) were of unknown or undeclared race, an increase from the previous year (13%). There was a particularly high proportion of staff with unknown/undeclared race in DfT(c). This is partly due to the database coding problem described in Chapter 2.

There is also a long-term trend (from 2008/09) of decreasing race declaration rates in DfT as a whole, and within DfT(c), DSA, and MCA.

In contrast, there was no significant trend in the proportion of BME staff in DfT as a whole since 2008/09. In the most recent four years, the proportion of BME staff has been either 5.7% or 5.8%.

The only agencies that did have significant trends were DfT(c), where the proportion of BME staff has been increasing, and DVLA, where the proportion has been decreasing.

Proportion BME staff and staff with unknown/undeclared race



Race: DfT relative to local working-age populations

In most of the agencies (DSA, VOSA, DVLA, HA), there were fewer BME staff or more white staff than expected at many locations, given the local working-age populations.

Conversely, at MCA's Northern Ireland and Scotland locations and DfT(c)'s London office (PB2-3 only), there were fewer white staff than expected.

Race: Differences within the staff population

The distributions of BME staff within each agency were analysed to see whether there were any differences in the pay band or job role of BME staff, white staff and those with unknown/undeclared race.

Regarding job roles, there were only significant differences within HA (traffic officers were less likely to be BME, non-traffic officers were more likely to be BME) and MCA (coastguards were less likely to be BME, marine surveyors were more likely to be BME).

Regarding pay bands, there were no consistent relationships between race and pay bands across the agencies, but there were some individual pay bands with more BME or white staff than expected in DfT(c), HA, DVLA, and VOSA. In particular, SCS staff were more likely to be white than staff in other pay bands in DfT(c).

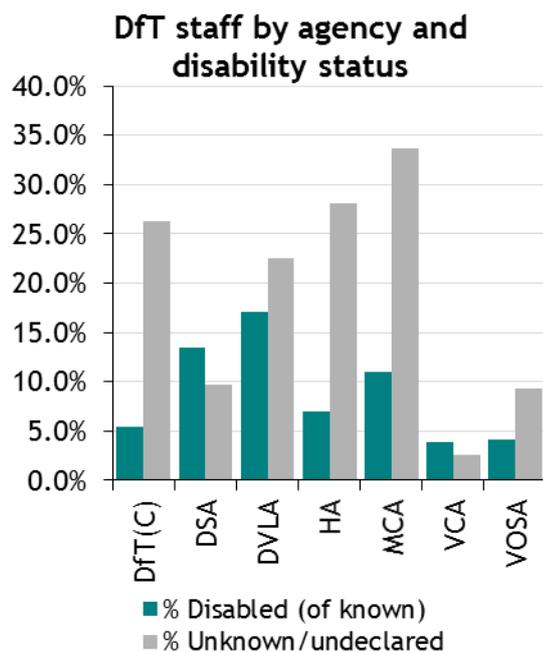
3.5 Results relating to Disability

Disability: Key findings and year on year changes

Of those who had declared their disability status, 10.8% had indicated that they were disabled. This is similar to the figure for last year (11.0%).

This proportion varied across agencies – DVLA had the highest proportion of disabled staff (17.1%) and VCA had the lowest (3.9%).

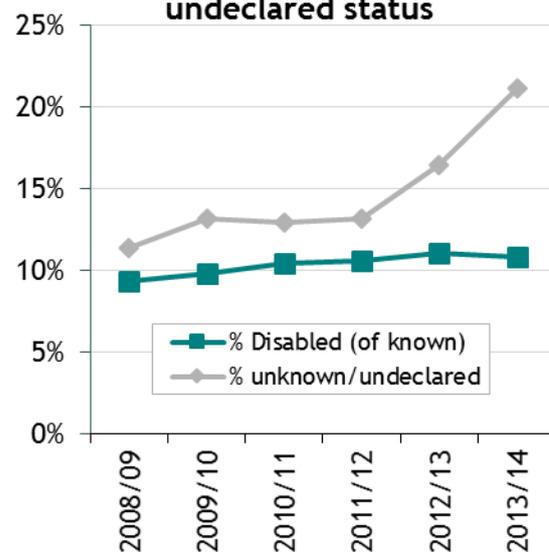
However, as with race, a large proportion of staff had unknown or undeclared disability status (21.1%).



There were significant increasing trends in the proportion of disabled staff in several agencies (DfT(c), DSA, HA traffic officers) and in DfT as a whole since 2008/09. Overall, the proportion of disabled staff has increased on average by 0.3% per year.

However, across the same period, the disability status declaration status has decreased – there was a significant downward trend in declaration rates in DfT as a whole and in most agencies (DfT(c), DSA, MCA, and VCA). Within DVLA, the declaration rate had a significant increasing trend.

Proportion disabled staff and staff with unknown/undeclared status



Disability: DfT relative to local working-age populations

This year, comparisons with local working-age populations did not include disability: the comparative disability data is no longer available due to a change of definition in the Annual Population Survey.

Disability: Differences within the staff population

In some of the agencies (DSA, VOSA, and HA), there were differences between

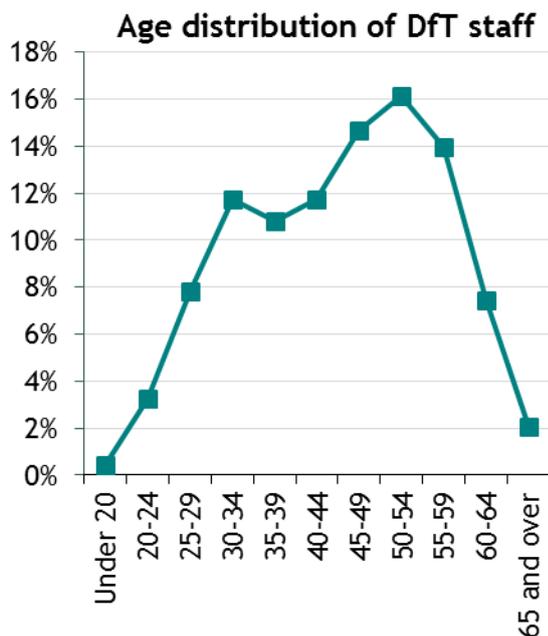
job roles with the less specialist job roles (admin, non-technical, non-traffic officers) having higher proportions of disabled staff than the others (examiners, technical, traffic officers).

In all of the agencies except DfT(c) and VCA, there were some individual pay band differences, indicating that staff in higher pay bands were more likely to be non-disabled (for some job roles).

3.6 Results relating to Age

Age: Key findings and year on year changes

Two thirds of DfT staff were aged 40 or over and only 3.7% were aged under 25. There were two peaks in the age profile: one at 50-54 and a smaller one at 30-34.



All the agencies had a peak at 50-54, but there were some differences in the age profiles; in particular, DVLA had a larger peak at the 30-34 age band. DSA, VOSA and MCA had older age profiles with a single large peak at 50-54. This was discussed in more detail in last year's report.

Age: DfT relative to local working-age populations

The age profile of DfT staff tended to be older than local working-age populations. In particular, within most agencies, there were more staff than expected in the 50-54 age group and fewer staff aged under 25.

Age: Differences within the staff population

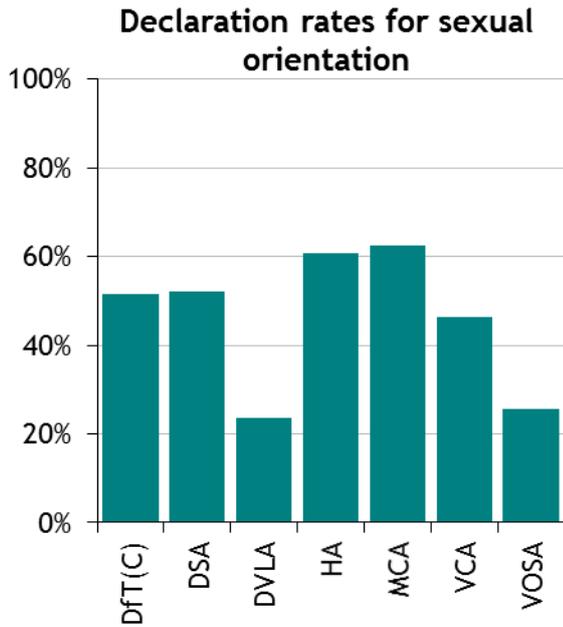
In the agencies where there were significant differences between pay bands (DSA, DVLA, and HA), staff in higher pay bands tended to be older than those in lower pay bands.

In most agencies (all except DSA and VCA), there were differences between job roles, with certain job roles tending to have older staff than other job roles. A table of average ages by job roles can be found in Annex C.

3.7 Sexual Orientation

In general, there was not enough data on sexual orientation to include it in the analysis.

Declaration rates varied across DfT. Overall, 59% of staff had unknown or undeclared sexual orientation.

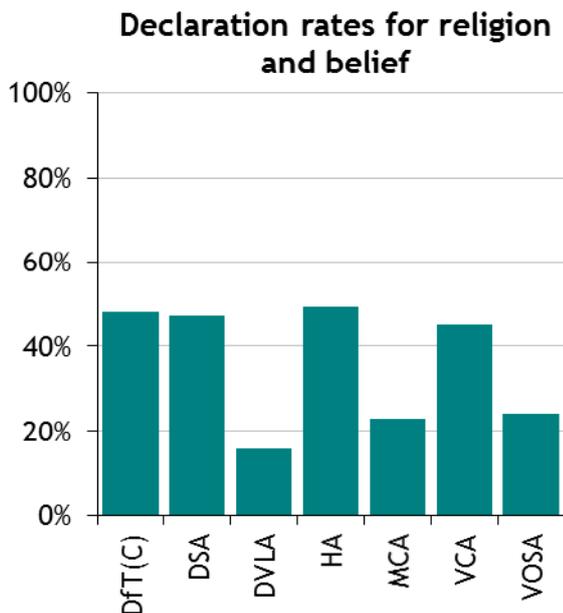


Of those who had declared, 3% had indicated that they were Lesbian, Gay or Bisexual.

3.8 Religion and belief

In general, there was not enough data on religion and belief to include it in the analysis.

Declaration rates for religion and belief varied across DfT. Overall, 67% of staff had unknown or undeclared religion/belief.

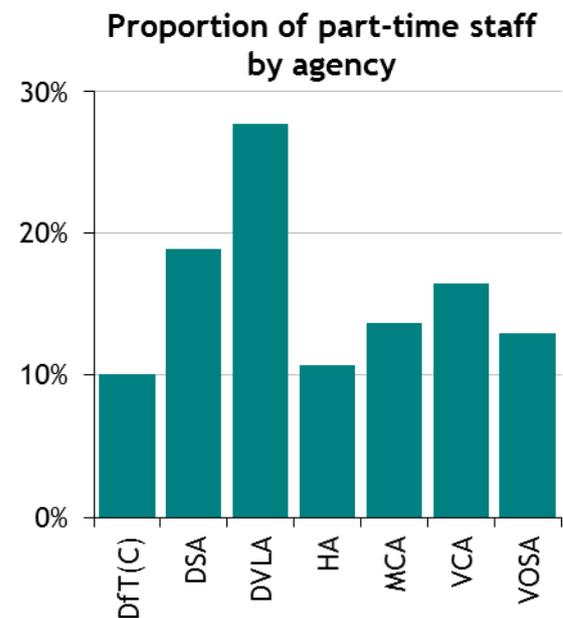


Of those who had declared, 77% indicated that they had a religion or belief.

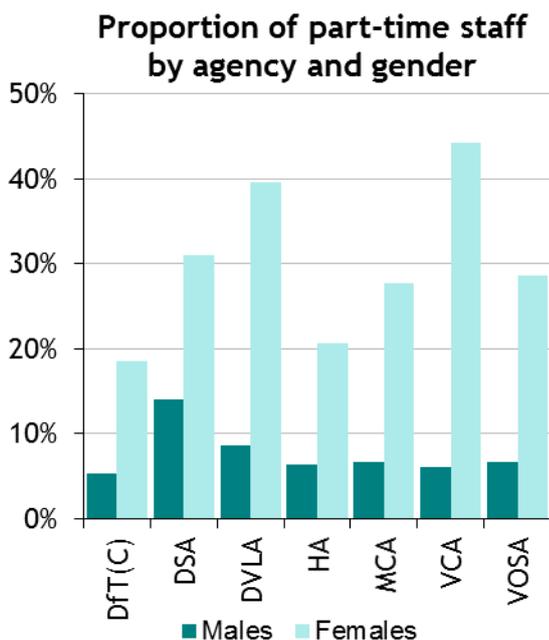
3.9 Working pattern

Overall, 18% of staff worked part time. This number has not changed since last year.

The proportion of part-time staff varied across agencies, ranging from 10% in DfT(c) to 28% in DVLA.



Across DfT, part-time staff were more likely to be female and older, and there was some variation by job type.



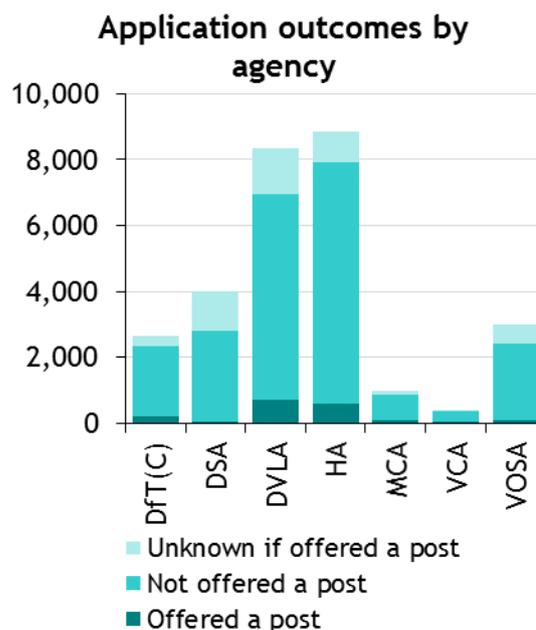
Where there were differences by job type, there tended to be higher proportions of part-time staff in the more administrative or office-based roles. This was seen in MCA, HA, DVLA, VOSA, and DSA. In DfT(c), Driver/Workshop staff were more likely to be part-time.

In some agencies (MCA, DVLA, and DSA), part-time staff were more likely to be in one or more of the lower pay bands.

3.10 Recruitment

Across DfT, there were 28,271 applications for posts and 1,817 people were offered a post during 2013/14.

31% of the applications were for posts in HA and 30% were for posts in DVLA. Similarly, 31% of those offered a post had applied for posts in HA and 40% had applied for posts in DVLA.



Applicants compared with local population

In all of the agencies (except DVLA operational posts), there were generally more male applicants than expected when compared with local working-age populations. For DVLA operational posts in Swansea, there were more female applicants than expected.

In each agency, except MCA and VOSA, there was at least one subset of campaigns (either by location or pay band group) that had more BME applicants than expected when compared with local working-age populations. There were two subsets of campaigns where there were more white applicants than expected: DfT(c) (other locations) and HA (TM1B).

Sift to appointment analysis

The profile of applicants who were successful at each recruitment stage (sift, interview, and offered a post) was compared with those who were unsuccessful. In the case of race and disability, there were three diversity classifications tested (e.g. BME, white and unknown/prefer not to say), so any

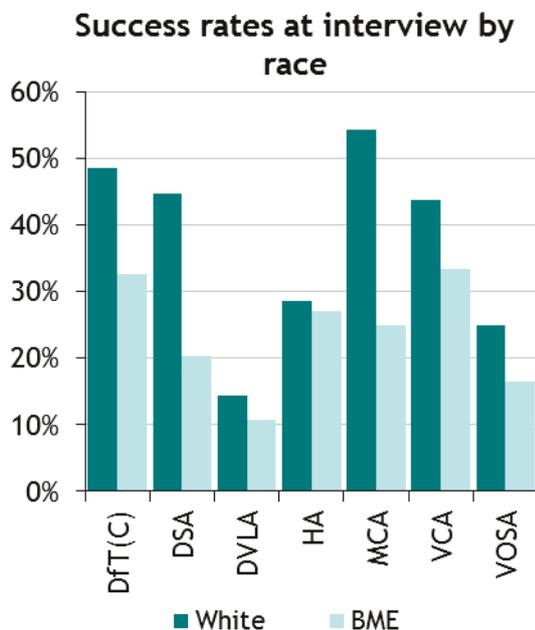
result compares each classification with the other two.

Across the agencies, there were some consistent patterns of success through the recruitment process.

For many agencies, race was a significant factor throughout the process:

- BME applicants were less successful at sift (VCA), white applicants were more successful at sift (DVLA³);
- BME applicants were less successful at interview (HA, DfT(c), VOSA), white applicants were more successful at interview (DSA, MCA); and
- BME applicants were less likely to be offered a post (DSA, DfT(c), HA), white applicants were more likely to be offered a post (MCA, VCA).

There were some exceptions: BME applicants for DfT(c) posts were more likely to be successful at sift.



Female applicants were sometimes more successful than male applicants. In

³ In some cases, the result may only apply to part of an agency (e.g. one particular job role), rather than the

particular, female applicants were more successful at sift for posts in DSA, DfT(c), and HA. Additionally, female applicants for posts in HA were more likely to be successful at interview and more likely to be offered a post than male applicants.

The results for age were more mixed, but older applicants were sometimes less successful at interview (DSA, VOSA, DVLA, DfT(c), HA) and less likely to be offered a post (DVLA, DfT(c), HA).

3.11 Performance management

Most of the DfT's agencies are now on (or effectively on) a three-box performance management system.

The two exceptions are VCA, which does not operate a formal performance marking system, and DVLA, where staff are awarded a performance mark from 0 to 120.

The Highways Agency (HA) operates a four-box system (although very few receive the lowest mark, so for the purposes of the analysis it is considered a three-box system). Similarly, VOSA provided data for a fourth box, but this related to only a handful of staff.

There were some differences in the distribution of performance ratings across the agencies, and also between job roles within some of the agencies. Specifically: although DfT(c)'s ratings fall into an approximate 25:65:10 pattern (25% box 1, 65% box 2 and 10% box 3), some of the other agencies are different.

The table below summarises the range of marks given (figures may not sum due

whole agency. See full equality monitoring reports for full details.

to rounding). Box 4 related to less than 0.5% of staff, where this was awarded.

	Performance rating 1	Performance rating 2	Performance rating 3
DSA	11%	78%	11%
VOSA	12%	85%	4%
DfT(c)	25%	65%	10%
HA	13%	81%	6%
MCA	19%	65%	16%

Characteristics associated with higher performance ratings

There were some similarities in the characteristics associated with a higher performance rating across DfT. Often the characteristics were only significant for particular job roles or pay bands rather than across the whole agency, but for ease of reading just the agency name has been included. In approximate order of importance and frequency, they were:

- **Age** – In most agencies⁴ (all except MCA), younger staff were more likely to have been awarded a higher performance rating.
- **Pay band** – All agencies had at least one pay band or job role with higher or lower proportions of staff with a higher performance rating, but there was no consistent pattern.
- **Sickness Absence** – This was a factor in six agencies (VOSA, DSA, DVLA, DfT(c), HA, MCA) and, where it was a factor, it was the most significant, or second most significant factor relating to performance mark. Staff with more sickness absence

were less likely to have received a higher performance mark.

- **Number of reportees** – Staff with more reportees were more likely to have received a higher performance rating. This result was seen in four agencies (VOSA, DfT(c), DVLA and HA).
- **Disability** – Analysis of disability revealed a mixed picture, with “unknown” disability being the strongest result in VOSA and HA (less likely to have received a higher performance rating). In DVLA, non-disabled staff were more likely to have received a higher performance rating, and similarly in DSA, disabled staff were less likely to have received a higher performance rating.
- **Working pattern** – Full-time staff were more likely to have received a higher performance rating; this was seen in four agencies (DSA, DfT(c), HA and MCA).
- **Race** – White staff were more likely / BME staff less likely to have received a higher performance rating in DVLA, DfT(c) and HA.
- **Gender** – Where this appeared as a factor (for DVLA, DfT(c), and HA), females tended to have received higher performance ratings.

Characteristics associated with lower performance ratings

There were generally fewer significant characteristics, because there were fewer staff with a lower performance rating.

Again, the characteristics were often only significant for particular job roles or pay bands rather than across the whole

⁴ In some cases, the result may only apply to part of an agency (e.g. one particular job role), rather than the

whole agency. See full equality monitoring reports for full details.

agency, but for ease of reading just the agency name has been included.

For the five agencies whose data was analysed, the following characteristics were significant.

- **Sickness absence** – In all five agencies, staff with higher levels of sickness absence were more likely to have received a performance rating 3.
- **Race** – In DfT(c), HA, and MCA, white staff were less likely to have received a performance rating 3.
- **Disability status** – Appeared as a factor for DfT(c), HA, and MCA, but in DfT(c), non-disabled staff were less likely to have a performance rating 3, whereas in HA, the reverse applied. In MCA, staff with unknown disability status were more likely to have received a performance rating 3.
- **Gender** – In DfT(c) and MCA, male staff were more likely to have received a performance rating 3.
- **Age** – In HA and DSA, older staff were more likely to have received a performance rating 3.
- The following characteristics appeared just once: having claimed overtime (DfT(c) – staff who claimed overtime were less likely to have a performance rating 3); number of reportees (HA – staff with lower numbers of reportees more likely to have a performance rating 3); working pattern (DSA – part-time staff more likely to have a performance rating 3).

3.12 Sickness absence

Both the likelihood of having absence and the number of days was analysed

for each agency. Several factors were found to be significant in more than one agency.

The sickness absence that was analysed applies only to staff who were in post at the end of 2013/14, including those on long-term sick leave, but excluding those on other types of long-term leave.

Staff with sickness absence

The most common characteristics linked with incidence of sickness absence were (in order of importance):

- **Gender** – In all agencies (except DVLA⁵), female staff were more likely to have had sickness absence.
- **Pay band** – Generally, higher pay bands were less likely to have had sickness absence (all agencies except VCA).
- **Disability status** – In DfT(c), DVLA, and HA, disabled staff were more likely to have had sickness absence.

Race and working pattern also appeared more than once, but there were not consistent patterns for these two.

Amount of sickness absence

As with incidence, the most common characteristic associated with amount of sickness absence was **gender**: female staff tended to have had more days of sickness absence (DSA, VOSA, DfT(c), and VCA).

Disability status was also a common factor, with disabled staff tending to had more days (DSA, DVLA, DfT(c), HA, MCA admin staff).

Age was a significant factor within VOSA, DfT(c), and VCA: older staff had had more days of sickness absence.

⁵ In some cases, the result may only apply to part of an agency (e.g. one particular job role), rather than the

whole agency. See full equality monitoring reports for full details.

Race, job role and working pattern all appeared in the results for at least one agency, but there were no clear patterns.

3.13 Cessations

2,466 staff left DfT during 2013/14, 14.2% of the staff in post at the beginning of the year.

The vast majority (88.8%) left for “voluntary” reasons.

Leaving reason		Number leaving
Voluntary	Voluntary Exit Scheme (VES/VER)	942
	Transfers to OGD	524
	Resignations	419
	Retirement	304
	End of Contract	125
Other	Dismissed	70
	Deceased	28
	Redundancies	27
	Failure to Complete Probation	14
Unknown	Other	12
	Unknown/Not Stated	1

Across the agencies, **age** was often a significant characteristic: leavers tended to be older than the staff in post. **Working pattern** also appeared in some agencies, with leavers being more likely to have worked part time.

Disability status and pay band also appeared in two or more agencies, but did not reveal any consistent patterns.

3.14 Learning and development

As explained in Chapter 2, training data provided by Civil Service Learning could not be analysed.

Some agencies did provide their own records of training data and these were analysed. Details of the analysis are given in the individual reports.

3.15 Grievances and disciplines

79 grievance cases were recorded across DfT, an increase from last year (50 grievance cases). 39 were in HA, 20 in DSA, 14 in VOSA, and 6 in DfT(c).

At agency level, there were generally too few cases for statistical analysis to be meaningful. However, within DSA and HA, two job roles had more grievances than expected: examiners (DSA) and traffic officers (HA). Also, female staff in DSA had more grievances than expected.

Disciplinary procedures were invoked for 190 members of staff, a decrease from last year (316 disciplinary cases).

Agency	No. of disciplinary procedures
DfT(c)	13
DSA	43
DVLA	47
HA	46
VCA	1
VOSA	40
Total	190

As with grievances, most agencies had too few disciplinary cases for statistical analysis to be meaningful. Within DVLA, more male staff and PB1-3 staff were disciplined than expected, and within HA, more traffic officers were disciplined than expected.

Annex A: Notes on data

A.1 Working-age populations

A.1.1 Reporting locations

To compare the diversity of staff in post with local working-age populations, we attached each building where staff were located to a Reporting Location, e.g. London, Swansea, etc.. For example, all staff based in London were considered as being in one location, irrespective of which part of London they were located in.

For each Reporting Location, we identified a catchment area and generated local working-age population figures based on data for that catchment area.

A catchment area would typically include the relevant Local Authority area for the Reporting Location, plus neighbouring Local Authorities, as agreed with each agency. For example, the London Reporting Location included the working-age population of all the London boroughs, as well as those counties that border them.

A.1.2 Data sources

The UK population data at Local Authority⁶ level is from the **Annual Population Survey (APS)**. This survey is a combined survey of households in Great Britain, updated quarterly and available at Local Authority level and above. It is a residence-based labour market survey which includes population and economic activity, broken down by gender, age, race, industry and occupation⁷.

The majority of DfT agencies have staff based only in Great Britain, but the Maritime and Coastguard Agency (MCA) also has staff working in Northern Ireland. In previous years, data for Northern Ireland was taken from the **Northern Ireland Labour Force Survey (NI LFS)**; however, this year, this data was also available as a part of the APS dataset.

Where a nationwide population comparison was required, the GB working-age population (i.e. not including Northern Ireland) was used. The exception was MCA, which was compared with the UK.

APS data used in the 2013/14 Equality Monitoring reports was based on the one year period October 2012 - September 2013, and downloaded from www.nomisweb.co.uk ("Nomis") on 6th June 2014.

⁶ Local authorities including County Councils rather than District Councils.

⁷ Further information on the survey can be found at <http://www.ons.gov.uk/ons/guide-method/method-quality/specific/labour-market/labour-market-statistics/index.html>

A.1.3 Population

Population data at local authority level from the APS was combined with **mid-year** (30 June) **population estimates** for 2012 – the most recent year available. These were also available at Local Authority level and were based upon results from the 2011 Census with allowance for under-enumeration. These figures covered the entire population, not just the working-age population, so to estimate the working-age population (those aged 16-64 years) we took the number of males and females aged 15-64 years⁸ (only five year age bands were available).

A.1.4 Disability status

Data on disability in the population is no longer available from the APS. The data now collected refers to long-term health conditions only, which means that it is not comparable with staff disability data. As a result, we no longer include this comparison in the analysis.

A.1.5 Race

APS data was available for the following ethnic groups:

- Mixed;
- Indian;
- Pakistani/Bangladeshi;
- Black/Black British; and
- Other.

For our analysis, we have combined all the above into a single BME category.

A.1.6 Sickness absence data

For DfT(c) and all agencies, data was available on the number of days of recorded sickness absence for each member of staff, with one record per incidence.

Working pattern

No adjustment has been made to absence records for part-time staff. The analysis has been performed on the number of days absent (i.e. how many days of work were recorded as missed).

If the analysis suggests that part-time staff had significantly more sickness absence, then we can be confident that this finding is correct, i.e. we are saying that they were absent for more actual calendar days than other staff, not making any allowance for the fact that they may have been due to work fewer calendar days in the first place.

However, given that part time staff have fewer available working days, the reverse result (part-time staff having significantly less absence) may not be a meaningful finding.

⁸ Please note that as of August 2010, the official definition of “working age” expanded to include both males and females aged 16-64 years old; this reflects a planned change in the female state pension age. All have been included in our working-age populations.

Annex B: Analytical approach

Two statistical approaches have been used to test for differences in the data: univariate methods that test one variable at a time and multivariate methods that compare several variables simultaneously. Wherever possible, multivariate methods have been used.

B.1 Multivariate methods – Regression Analysis

The main technique used to analyse data taking into account several factors simultaneously was regression: either multiple, logistic, Poisson or negative binomial.

Regression attempts to predict a dependent variable (e.g. the amount of sickness absence taken) using one or more independent variables (such as gender, age, etc.). In using multiple regression, the principle is to find the “line of best fit” by minimising the sum of the squared distance from the fitted line to each observation. (This approach is sometimes referred to as ordinary least squares regression). The aim is to find a set of independent variables that have a significant relationship with the dependent variable.

Much of the data that was analysed had a binary (0/1) result, for example, was in a pay band or not; obtained the top performance rating or did not; was selected for interview or was not, etc.. This type of data lends itself to being analysed using logistic regression. Logistic regression is analogous to ordinary least squares regression, with the exception that a logistic curve rather than a straight line is fitted to the data. In some cases, neither multiple nor logistic regression was suitable, for example for analysing the amount of sickness absence taken, which, for the majority of people, was nothing or very little, but for a small number of cases was very high. For this analysis, Poisson or negative binomial models were used.

In all these approaches, the first step is for each characteristic to be tested in turn to see if it is significantly associated with the outcome (e.g. passed a recruitment stage or not). By significant, we mean that a staff characteristic accounted for an unusually high proportion of the variation seen in the dependent variable. For example, to see if age was a significant factor as to whether someone had passed the interview stage. In this case we would say something was successful or significant in “explaining the variation”, to mean that if you knew the characteristic of the staff member, you would have a better chance of predicting the outcome (for example, if you knew the age, you would also know something about the likely interview outcome). The starting assumption was that prior knowledge of someone’s gender, race, age, etc. should not enable the model to predict whether they were more likely to have received the highest performance rating or were interviewed etc. Again, as with the univariate approach, significance does not necessarily equate to bias, but gives the relative likelihood of it occurring.

The next step in the modelling process was to include the characteristic that explained the majority of the remaining variation after taking account of the first variable. This step was repeated until the variables outside the model could explain no further variation.

Generally, an outcome could not simply be explained by a single characteristic. Often, it was several characteristics together that were important. For example, age, gender and race were quite often found to be a powerful combination. A major advantage of the multivariate approach, compared with univariate, is that it is easier to see the relative importance of the characteristics.

There was an element of judgment involved in deciding which variables to include. In some cases, variables were highly correlated, e.g. gender and full time equivalence: females were more likely to be part-time than males. Where both were statistically significant and improved the amount of variation that could be explained, both were included.

B.2 Univariate methods - Chi-squared and Proportions tests

These tests were employed where further investigation was needed of staff age combined with other diversity characteristics. Additionally, the univariate approach was the primary approach used for analysing whether the proportion of job applicants by each diversity grouping was significantly different from that of the local working-age population.

The results of these statistical tests give an indication of whether the pattern observed in the data was “significantly different from what would have been expected” or conversely whether any difference in proportions could be explained by natural variation.

For example, if there had been 100 applicants, 30 of whom were male, and the local working-age population was 50% male and 50% female, the tests would tell you whether the group was statistically different from any random sample of 100 from the working-age population.

For these tests, we used the “99% confidence level”. This means that if we reported a difference as being significant, it meant there was only a 1% likelihood that the difference could have occurred purely by chance. We have also sometimes reported on differences that were significant at the 95% level, i.e. a 5% likelihood that the differences would have occurred by chance.

A certain amount of variation is expected, even with completely random samples, and so it should not be assumed that something that is statistically significant indicates that there is a bias – the level of significance only indicates the likelihood of something occurring. For example, a significant result at the 99% level would indicate something which is more unusual than something that is only significant at the 95% level.

As there are several characteristics to be tested, several univariate tests had to be conducted. One of the drawbacks of multiple univariate testing is that the more tests that are undertaken the higher the probability of finding false significant results. To reduce this risk, we have used the Bonferroni adjustment to the significance levels.

A further drawback with univariate approaches is that they do not take into account all of the other factors simultaneously. In practice, an individual staff member has several characteristics: their gender, race, working pattern, etc.. In looking at only one of these characteristics at a time (for example in relation to performance), the effect of another

characteristic is not taken into account and results can be misleading. It is possible to use multi-dimensional contingency tables for chi-squared tests, but the interpretation of the results can be difficult.

It is still, however, an appropriate approach in many circumstances – particularly when the group should be reasonably comparable with the rest of the population, but where possible we are moving away from these approaches.

Annex C: Tables and charts

C.1 Year on year comparison – all staff

Staff Type	March 31st 2013			March 31st 2014			Percentage point change	% change from 2013
	2012/2013	% of total	% of total that declared	2013/2014	% of total	% of total that declared		
All staff	17382			16373				
Males	9961	57.3%	57.3%	9600	58.6%	58.6%	+1.3	-3.6%
Females	7421	42.7%	42.7%	6773	41.4%	41.4%	-1.3	-8.7%
White	14255	82.0%	94.2%	12353	75.4%	94.3%	-6.6	-13.3%
BME	876	5.0%	5.8%	747	4.6%	5.7%	-0.5	-14.7%
Unknown Race	2251	13.0%	-	3273	20.0%	-	+7.0	+45.4%
Non-disabled	12927	74.4%	89.0%	11516	70.3%	89.2%	-4.0	-10.9%
Disabled	1600	9.2%	11.0%	1399	8.5%	10.8%	-0.7	-12.6%
Unknown disability status	2855	16.4%	-	3458	21.1%	-	+4.7	+21.1%
Full Time	14316	82.4%	82.4%	13433	82.0%	82.0%	-0.3	-6.2%
Part Time	3066	17.6%	17.6%	2940	18.0%	18.0%	+0.3	-4.1%
Average age	44.6			44.8				

C.2 Declaration rates

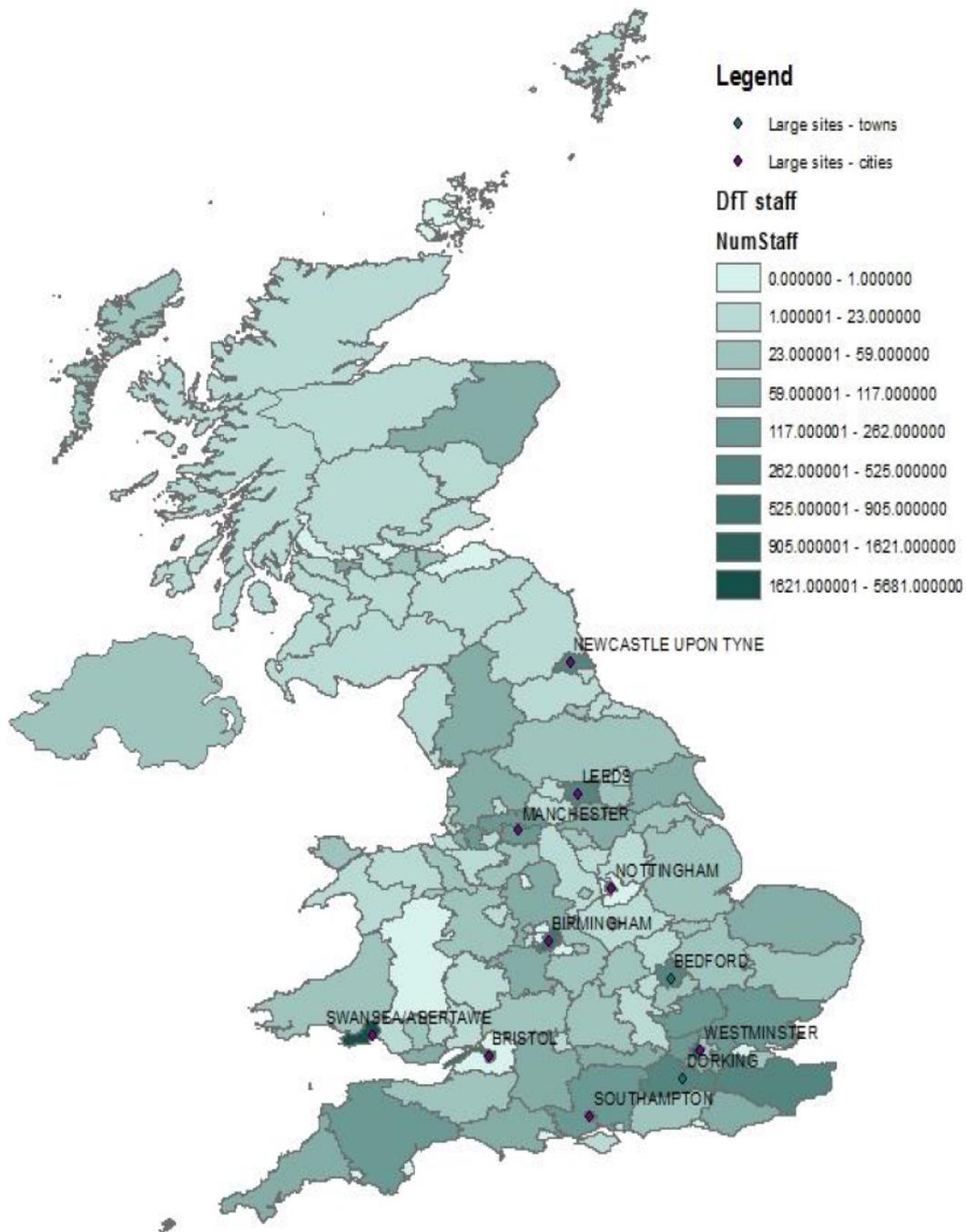
C.2.1 Including “prefer not to say”

Protected characteristic	DfT(c)	DSA	DVLA	HA	MCA	VCA	VOSA	Overall
Age	100%	100%	100%	100%	100%	100%	100%	100%
Gender	100%	100%	100%	100%	100%	100%	100%	100%
Race	81%	94%	90%	92%	87%	100%	85%	89%
Disability Status	74%	90%	77%	85%	72%	97%	91%	82%
Sexual Orientation	75%	98%	80%	84%	86%	49%	33%	76%
Religion or Belief	75%	97%	75%	84%	31%	51%	33%	71%

C.2.2 Excluding “prefer not to say”

Protected characteristic	DfT(c)	DSA	DVLA	HA	MCA	VCA	VOSA	Overall
Age	100%	100%	100%	100%	100%	100%	100%	100%
Gender	100%	100%	100%	100%	100%	100%	100%	100%
Race	65%	83%	82%	78%	81%	99%	85%	80%
Disability Status	74%	90%	77%	72%	66%	97%	91%	79%
Sexual Orientation	52%	52%	23%	61%	63%	46%	25%	41%
Religion or Belief	48%	47%	16%	49%	23%	45%	24%	33%

C.3 Geographical distribution of staff



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C.4 Additional tables: job roles

C.4.1 Job role and gender

Agency	Job role	Female	Male	Total	% Female	% Male
DfT(c)	Driver/Workshop staff	3	59	62	4.8%	95.2%
	Normal Pay Band	690	1090	1780	38.8%	61.2%
	Specialist Pay Band	4	76	80	5.0%	95.0%
DSA	Admin	288	202	490	58.8%	41.2%
	Examiner	330	1369	1699	19.4%	80.6%
	Support	24	2	26	92.3%	7.7%
DVLA	Non-operational	528	462	990	53.3%	46.7%
	Operational	2844	1618	4462	63.7%	36.3%
HA	Asset	822	1157	1979	41.5%	58.5%
	Traffic	215	1166	1381	15.6%	84.4%
MCA	Administrator	236	178	414	57.0%	43.0%
	Coastguard	106	362	468	22.6%	77.4%
	Marine Surveyor	8	162	170	4.7%	95.3%
VCA	Admin	40	58	98	40.8%	59.2%
	Engineers	3	57	60	5.0%	95.0%
VOSA	Normal Pay Band	550	369	919	59.8%	40.2%
	Technical	82	1213	1295	6.3%	93.7%
Overall		6773	9600	16373	41.4%	58.6%

C.4.2 Job role and age

Agency	Job role	Average age
DfT(c)	Driver/Workshop staff	51.0
	Normal Pay Band	43.5
	Specialist Pay Band	50.9
DSA	Admin	43.2
	Examiner	52.0
	Support	57.3
DVLA	Non-operational	45.5
	Operational	40.1
HA	Asset	44.8
	Traffic	46.7
MCA	Administrator	44.0
	Coastguard	45.8
	Marine Surveyor	52.9
VCA	Admin	45.6
	Engineers	40.4
VOSA	Non-technical	44.5
	Technical	49.8
Overall		44.8