

**Audit Commission
analysis of the race equality survey
commissioned from NOP**

Contents

Methodology	
Sample	3
Questionnaire Design	4
Interviewing	4
Data analysis	4
Findings	
Characteristics of the stages on the journey to race equality	6
Importance of race equality	11
Vision and achievements	15
Leadership	19
Staff understanding, skills and behaviour	21
Engaging black and minority ethnic communities	23
Working with partners	25
Integrating race equality	26
National influence, guidance and support	27
Appendices	
Sample stratification	29
Advance letter	30
Full questionnaire	31
Factor analysis	39

Methodology

Sample

The sample population consisted of local authorities, police forces, acute hospital trusts, primary care trusts and health boards in England and Wales. The survey aimed to interview two people from each organisation included in the sample: the chief executive / chief constable and the person they named as the organisation's race equality 'champion'.

The sample was stratified by organisation type, size of black and minority ethnic population and population density (whether the organisation serves an urban, rural or mixed area). Details of the stratification can be found at appendix one. Organisations visited as part of qualitative research were excluded, leaving a total of 967 to sample.

The final sample file contained information for the following numbers of sample by type:

Single Tier Councils	116
County Councils	34
District Councils	238
Welsh Councils	22
Acute Trusts	188
Primary Care Trusts	304
Welsh Health Boards	22
Police Forces	43
Total	967

Disproportionate targets were set to ensure that enough of each type of organisation was interviewed to enable meaningful analysis. Targets were set as follows:

Single Tier Councils	15
County Councils	10
District Councils	35
Welsh Councils	10
Acute Trusts	20
Primary Care Trusts	30
Welsh Health Boards	10
Police Forces	20
Total	150

Advance letters were sent to 323 organisations, twice as many or more of each organisation type as was needed. A copy of the letter can be found at Appendix 2.

A total of 168 chief executives / chief constables (referred to as 'chief executives' throughout this document) and 150 race equality champions were interviewed. The table overleaf indicates how the resultant interviews were categorised by organisation and response rates.

Organisation type	Issued	Chief executives	Race equality champions	Response
Single tier councils	29	19	17	66%
County councils	33	12	12	36%*
District councils	69	37	35	54%*
Welsh councils	22	12	10	55%
Acute trusts	38	18	16	47%
Primary care trusts	73	34	32	47%
Welsh health boards	22	14	8	64%
Police forces	37	22	20	59%
Total	323	168	150	52%

* For county and district samples interviewing was stopped when the target number of interviews were achieved.

Questionnaire design

A questionnaire was drawn up by the Audit Commission, and, after some input from NOP, was piloted. The pilot took place on April 10 and 11 2003. Letters were sent to twelve organisations, a mixture of types, and a total of ten interviews were conducted in the two days. Four interviews took place with chief executives and a longer questionnaire was completed by six race equality champions. For the purposes of the pilot, in some cases nominated race equality champions were interviewed before the chief executives.

After the pilot, several revisions were made to the questionnaire, as it was taking considerably longer than the time allowed (15 minutes per chief executive interview and 20 minutes per race equality champion interview). This was largely due to respondents finding the questions more difficult to answer than anticipated. The final questionnaire was signed off on 28 April 2003.

The full questionnaire consisted of ten closed questions (with options read out to interviewees), six open questions which had been pre-coded for interviewers (with a verbatim answer being recorded where there was no relevant pre-code) and two open questions with no pre-codes. Chief executives were not asked some of the more detailed questions. A copy of the full questionnaire can be found at appendix three.

Interviewing

Advance letters were sent on 1 May 2003 and interviewing began on May 6. A copy of the advance letter can be found in at Appendix 2. Interviewing was conducted by NOP's Telephone Interviewing Services (TIS). Only interviewers experienced with pre-selected sample surveys took part in the survey. Interviewers were briefed by a member of the Audit Commission team. Interviewing was completed on 18 June 2003.

Data analysis

Frequency tables were run by NOP to a specification agreed with the Audit Commission, breaking responses down by organisation type, area (urban, rural or mixed), and size of the black and minority ethnic population. Open questions and 'other' answers to pre-coded open questions by the Audit Commission were coded.

Factor analysis

Factor analysis was carried out on the data by NOP, grouping together respondents who had given similar answers into clusters. The clusters were finalised and defined by the Audit Commission. Frequency tables were then run by NOP to breaking responses down by the four clusters. Details of the factor analysis can be found at appendix four.

Weighting

To ensure that the results are representative of public sector organisations in England and Wales, respondents were weighted so that responses were proportionate to the profile of organisations in England and Wales.

The profile of the weights applied is recorded in the table below:

Population density	
High - urban	31%
Medium - mixed	47%
Low - rural	22%
Size of black and minority ethnic population	
Under 4%	40%
4 - 10%	33%
11% and over	27%
Organisation type	
Single tier councils	12%
County councils	4%
District councils	25%
Welsh councils	2%
Acute trusts	19%
Primary care trusts	31%
Welsh health boards	2%
Police forces	4%

All of the results that appear here are weighted

Characteristics of the stages on the journey to race equality

The factor analysis divided respondents into clusters based on their responses to questions on the following themes (full details of the questions used can be found at appendix four):

Theme	Description
Engagement, knowledge and skills	<ul style="list-style-type: none"> • Do staff, non-executives and members understand how and why race equality is relevant to the organisation? Are they able to influence the organisation's race equality work? • Do staff understand how race equality is relevant to their jobs and integrate it into their everyday work?
Confidence	<ul style="list-style-type: none"> • Do respondents feel their organisation has made good progress on race equality, or are they struggling to know where to start? • Do they want more external support?
Progress on outcomes	<ul style="list-style-type: none"> • How much progress has the organisation made towards improving outcomes? <ul style="list-style-type: none"> - Have outcomes been identified, targets set & resources made available to achieve them? - Are local black and minority ethnic people involved in this process, ensuring that priorities reflect their views and experiences?
Influencers - internal	<ul style="list-style-type: none"> • How influential have internal factors been on the organisation's approach to race equality? <ul style="list-style-type: none"> - Do staff and leaders feel there is an intrinsic moral or social justice case for addressing race equality? - How important have staff been in driving the work being done? - Have specific incidents highlighting issues been a driver?
Influencers - local external	<ul style="list-style-type: none"> • How influential have local external factors been on the organisation's approach to race equality? <ul style="list-style-type: none"> - To what extent have local black and minority ethnic communities, non-executives and members and local partners driven race equality work?
Influencers - national	<ul style="list-style-type: none"> • How important have national influencers - legislation, national performance indicators, inspection, audit, and guidance - been on the organisation's approach to race equality?

Rationale	<ul style="list-style-type: none"> • How developed is the organisation's 'rationale' for doing race equality work? <ul style="list-style-type: none"> - Is there an understanding about how race equality relates to the organisations overall aims and objectives or is it seen as an 'add on'? - Has thinking moved beyond 'the numbers game' (e.g. the relevance of race equality being seen as proportionate to the size of local black and minority ethnic communities) to an understanding that it is about providing quality services to everyone the organisation serves?
Working with partners	<ul style="list-style-type: none"> • How much progress has been made on working with other public sector organisations to achieve race equality in the locality?

This analysis was combined with the Audit Commission's qualitative research findings to describe organisations at different stages on the journey to race equality:

- **Resisting** agencies believe that race equality is not an issue that affects them and have no understanding of race equality outcomes.
- **Intending** agencies feel over-confident but have little motivation to make real change and are still working out the issues, despite having worked on race equality for several years.
- **Starting** agencies are motivated and ambitious, yet are under-confident. Outcomes are improving but this is patchy and reactive.
- **Developing** agencies have set ambitious targets for improvement and have a high level vision for race equality; outcomes are being improved across all services.
- **Achieving** agencies have clear priorities for their local community and a track record of improving outcomes. They are highly driven to continue improving and influence partners.

Fieldwork indicated that the *achieving* stage is aspirational and that few, if any, public sector organisations have reached it. Therefore a four cluster solution, dividing respondents into four groups – resisting, intending, starting and developing – was used. The characteristics of each of these groups are outlined below.

Overall numbers

	Resisting	Intending	Starting	Developing
All respondents	12%	32%	29%	26%

Size of black and minority ethnic population

Overall, areas with larger black and minority ethnic populations are more likely to be served by developing organisations and are very unlikely to be served by resisting organisations. Areas with medium or small black on minority ethnic populations are likely to be served by organisations at all stages of the journey.

	4% and under	4-10%	Over 10%
Resisting	21%	10%	1%
Intending	30%	30%	36%
Starting	29%	35%	22%
Developing	20%	24%	41%
Total	100%	100%	100%

	Resisting	Intending	Starting	Developing
4% and under	69%	38%	40%	29%
4-10%	28%	31%	40%	29%
Over 10%	3%	30%	20%	41%
Total	100%	100%	100%	100%

Population density

Urban areas are more likely to be served by developing or starting organisations and rural areas by resisting or intending organisations. This reflects the fact that urban areas tend to have larger black and minority ethnic populations. However, 14 per cent of rural organisations are developing and eight per cent of urban organisations are resisting. Assumptions cannot be made about the performance of an organisation based on the type of area it serves.

	Rural	Mixed	Urban
Resisting	24%	10%	8%
Intending	39%	36%	22%
Starting	23%	31%	31%
Developing	14%	23%	40%
Total	100%	100%	100%

	Resisting	Intending	Starting	Developing
Rural	43%	27%	17%	12%
Mixed	38%	52%	50%	41%
Urban	20%	21%	33%	47%
Total	100%	100%	100%	100%

Type of organisation

Overall, smaller organisations (such as Welsh and district councils), and newer organisations (such as primary care trusts and Welsh health boards) are more likely to be at the start of the journey. Single tier councils (metropolitans, unitaries and London boroughs) and police forces are most likely to be developing. Once again, these are generalisations and assumptions cannot be made about the stage an organisation has reached based on the type or organisation it is or the sector it operates in.

	Resisting	Intending	Starting	Developing	Total
Acute trusts	3%	41%	24%	32%	100%
Primary care trusts	11%	34%	44%	11%	100%
Welsh health boards	45%	16%	35%	3%	100%
Welsh councils	25%	27%	29%	18%	100%
County councils	9%	41%	19%	30%	100%
District councils	23%	30%	25%	22%	100%
Single tier councils	6%	25%	17%	53%	100%
Police forces	-	13%	12%	76%	100%

The remainder of the analysis in this document describes variations between organisations at the different stages, rather than by organisation type or local context. The breakdowns here show that, although generalisations can be made, this is not always sound (for example, some organisations in rural areas with a small black and minority ethnic populations are at the developing stage).

Length of time organisation has been undertaking race equality work

Developing and intending organisations are likely to have been addressing race equality for longer. This indicates that those at the intending stage are not being sufficiently ambitious or may have become complacent. Starting and resisting organisations are more likely to have started working on race equality within the last four years, indicating that the Race Relations (Amendment) Act 2000 (RR(A)A) has been a more important influence on them.

Roughly how long has your organisation been implementing race equality initiatives?

	All race equality champions*	Resisting	Intending	Starting	Developing
Under 2 years	37%	67%	23%	51%	19%
2-4 years	17%	5%	23%	19%	15%
5-10 years	17%	23%	8%	18%	20%
Over 10 years	24%	4%	39%	8%	42%
Don't know	4%	1%	6%	5%	4%

*Only race equality champions were asked this question

How important has the Race Relations (Amendment) Act been in influencing your organisation to address race equality issues?

	Essential (4)	Very important (3)	Fairly important (2)	Not very important (1)	Not at all important (0)	Mean
Chief executives	35%	50%	13%	1%	-	3.21
Race equality champions	51%	43%	3%	3%	-	3.43
Resisting	30%	46%	17%	1%	-	3.10
Intending	19%	64%	12%	5%	-	2.98
Starting	54%	43%	3%	-	-	3.51
Developing	65%	29%	5%	-	-	3.60

Confidence

Overall, respondents at developing organisations report the highest levels of confidence about progress on race equality, and those at resisting organisations the lowest. Again, responses indicate that intending organisations (with fairly high levels of confidence) may be complacent. Those at the starting stage are the most likely to be overwhelmed by the agenda, reflecting the fact that many have started to address race equality relatively recently.

It's hard for my organisation to know where to start in addressing race equality issues

	Strongly agree (2)	Tend to agree (1)	Neither agree nor disagree (0)	Tend to disagree (-1)	Disagree strongly (-2)	Mean
Chief executives	3%	13%	3%	44%	38%	-1.01
Race equality champions	6%	24%	11%	35%	25%	-0.5
Resisting	14%	26%	2%	53%	6%	-0.12
Intending	1%	5%	5%	53%	35%	-1.16
Starting	7%	42%	10%	26%	15%	0.01
Developing	-	4%	5%	33%	58%	-1.43

My organisation has made good progress on race equality compared to similar organisations

	Strongly agree (2)	Tend to agree (1)	Neither agree nor disagree (0)	Tend to disagree (-1)	Disagree strongly (-2)	Mean
Chief executives	13%	39%	37%	9%	-	0.57
Race equality champions	16%	38%	31%	9%	2%	0.61
Resisting	3%	10%	50%	30%	7%	-0.28
Intending	11%	39%	42%	3%	-	0.60
Starting	8%	31%	43%	14%	-	0.35
Developing	31%	61%	8%	-	-	1.23

Importance of race equality

The vast majority of respondents consider that race equality is important to delivering modernised, improved services. Most report that race equality is part of their organisation's overall objectives, although one-quarter of these respondents are from *resisting* organisations. This is reflected by the fact that *improving services for all parts of the community* was the second most important factor which had influenced organisations to address race equality (after the Race Relations Amendment Act). Again, this was more likely to be the case at developing and starting organisations.

Thinking about the drive to modernise and improve public services, how important is race equality to delivering improved services to local community?

	Essential (4)	Very Important (3)	Fairly important (2)	Not very important (1)	Not at all important (0)	Mean
Chief executives	52%	27%	17%	5%	-	3.26
Race equality champions	57%	29%	13%	-	-	3.44
Resisting	24%	36%	31%	9%	-	2.75
Intending	36%	34%	26%	4%	-	3.03
Starting	68%	25%	7%	-	-	3.59
Developing	76%	21%	3%	-	-	3.73

To what extent is race equality part of the overall objectives of your organisation?

	A great deal (3)	A fair amount (2)	Not very much (1)	Not at all (0)	Mean
Chief executives	37%	52%	11%	-	2.26
Race equality champions	41%	51%	7%	-	2.34
Resisting	4%	70%	26%	-	1.78
Intending	30%	58%	12%	-	2.19
Starting	34%	59%	7%	-	2.28
Developing	71%	28%	1%	-	2.70

Despite the fact that 95 per cent of respondents considered race equality to be important with regard to delivering improved services to their local community, one-third of chief executives and one-quarter of race equality champions reported that race equality was **not** an issue significantly affecting their organisation or local community. This rose to over one-half of those from resisting organisations. This is reflected by the fact that the local area having a small local black and minority ethnic population was seen by one-fifth of respondents as a key barrier to progress (rising to one-third at resisting organisations).

Race equality is not an issue which significantly affects my organisation or the community it serves

	Strongly agree (2)	Tend to agree (1)	Neither agree nor disagree (0)	Tend to disagree (-1)	Disagree strongly (-2)	Mean
Chief executives	10%	22%	8%	18%	42%	-0.6
Race equality champions	8%	17%	7%	14%	53%	-0.088
Resisting	25%	32%	14%	22%	8%	0.43
Intending	8%	26%	10%	16%	39%	-0.51
Starting	10%	15%	9%	17%	49%	-0.81
Developing	1%	11%	-	12%	73%	-1.48

Overall, just over half of respondents agreed that addressing race equality had meant changing their organisation's priorities. Those from developing and starting organisations agreed much more strongly that this was the case than those from resisting and intending organisations. Race equality being a low priority or not being perceived as an issue is cited by seventeen percent as a key barrier to progress (falling to eight percent for those at developing organisations).

Addressing race equality has meant changing my organisation's priorities

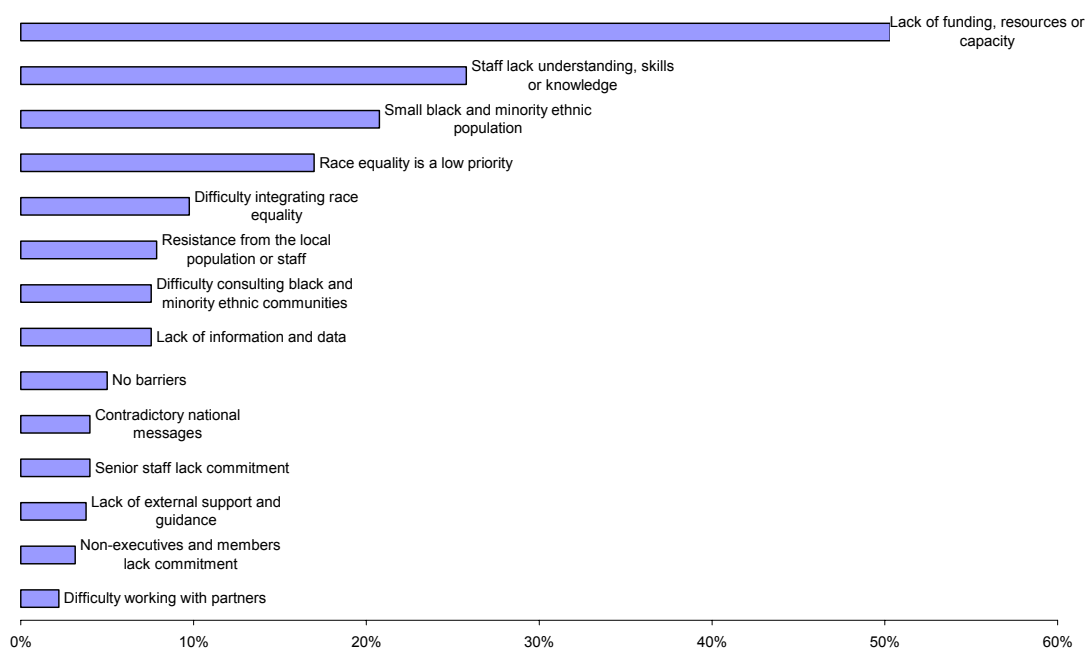
	Strongly agree (2)	Tend to agree (1)	Neither agree nor disagree (0)	Tend to disagree (-1)	Disagree strongly (-2)	Mean
Chief executives	14%	36%	20%	28%	2%	0.33
Race equality champions	18%	36%	22%	19%	4%	0.46
Resisting	-	18%	26%	45%	11%	-0.48
Intending	3%	31%	22%	39%	4%	-0.10
Starting	15%	45%	28%	11%	-	0.65
Developing	40%	40%	10%	9%	1%	1.10

Along with the prioritisation given to race equality, the resources an organisation allocates serves as an indication of its commitment. Only seven percent of respondents felt that their organisation had made a great deal of progress in allocating resources for race equality work (only one of whom was not from a developing organisation). Moreover, lack of funding and resources was the most frequently reported barrier to progress – with 64% of race equality champions and 38% of chief executives citing it as an issue (indicating that chief executives are likely to have less awareness of the resource implications). Lack of resources was less likely to be cited as a barrier by those from resisting organisations, probably due to the limited nature of their ambition.

How much progress have you made in making resources available to address race equality?

	A great deal (3)	A fair amount (2)	Not very much (1)	None at all (0)	Mean
Chief executives	6%	50%	42%	1%	1.61
Race equality champions	7%	60%	27%	5%	1.7
Resisting	-	23%	67%	10%	1.13
Intending	1%	64%	35%	-	1.66
Starting	-	44%	48%	7%	1.39
Developing	24%	71%	5%	-	2.19

What are the main barriers preventing progress on race equality work at your organisation?



Barrier	All	Chief executives	Race equality champions
Lack of funding, resources or capacity	50%	38%	64%
Staff lack understanding, skills or knowledge	26%	29%	23%
Small black and minority ethnic population	21%	23%	19%
Race equality is a low priority	17%	16%	18%
Difficulty integrating race equality	10%	11%	9%
Resistance from the local population or staff	8%	11%	5%
Lack of information and data	8%	7%	8%

Barrier	All	Chief executives	Race equality champions
Difficulty consulting black and minority ethnic communities	8%	9%	6%
No barriers	5%	6%	3%
Senior staff lack commitment	4%		9%
Contradictory national messages	4%	2%	7%
Lack of external support and guidance	4%	1%	7%
Non-executives and members lack commitment	3%	1%	7%
Difficulty working with partners	2%	3%	1%

Vision and achievements

Overall, respondents were fairly confident that their race equality work was based on a good understanding of the needs of their local black and minority ethnic communities and staff, with only eight per cent of chief executives and 13 per cent of race equality champions reporting that this was not the case (indicating that chief executives may be more over-confident here).

Race equality work is founded on a good understanding of the needs of local black and minority ethnic communities and staff

	Strongly agree (2)	Tend to agree (1)	Neither agree nor disagree (0)	Tend to disagree (-1)	Disagree strongly (-2)	Mean
Chief executives	39%	37%	14%	6%	2%	1.08
Race equality champions	41%	34%	12%	9%	4%	1.01
Resisting	29%	19%	19%	26%	4%	0.44
Intending	36%	45%	11%	5%	3%	1.06
Starting	45%	28%	20%	5%	3%	1.07
Developing	46%	42%	7%	3%	2%	1.27

Respondents were less confident about their organisation's progress in identifying race equality outcomes, with around forty-one percent reporting no or little progress (falling to seven percent at developing organisations).

How much progress have you made in identifying what outcomes the organisation needs to improve for black and minority ethnic staff and users?

	A great deal (3)	A fair amount (2)	Not very much (1)	None at all (0)	Mean
Chief executives	8%	49%	42%	1%	1.64
Race equality champions	16%	40%	38%	1%	1.76
Resisting	-	14%	82%	4%	1.10
Intending	8%	56%	35%	-	1.73
Starting	3%	36%	59%	1%	1.41
Developing	32%	56%	7%	-	2.27

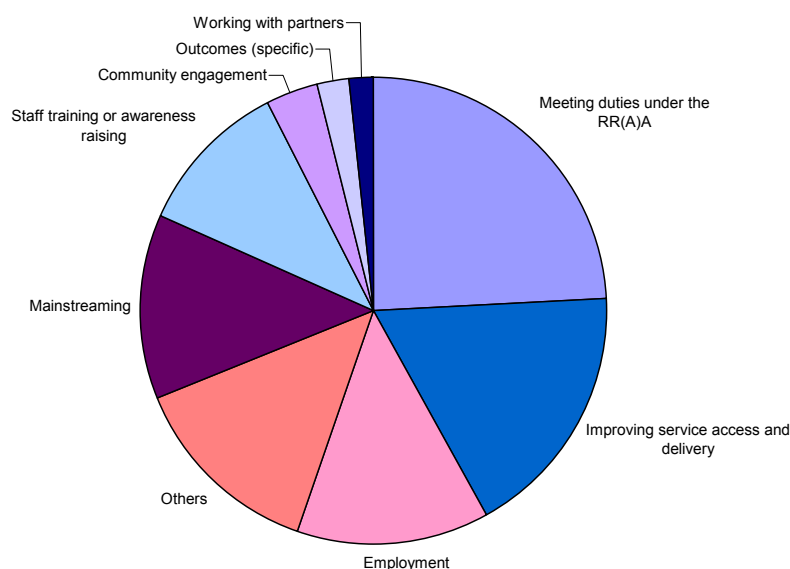
More progress was reported on setting goals and targets for race equality work, particularly by race equality champions.

How much progress have you made in setting goals and targets for race equality?

	A great deal (3)	A fair amount (2)	Not very much (1)	None at all (0)	Mean
Chief executives	14%	52%	31%	3%	1.77
Race equality champions	25%	53%	21%	1%	2.01
Resisting	5%	22%	59%	14%	1.18
Intending	14%	61%	23%	1%	1.90
Starting	3%	63%	34%	1%	1.68
Developing	49%	44%	7%	-	2.42

However, when asked about the main objectives of their race equality strategy, only five per cent of race equality champions cited tangible, measurable outcomes. The vast majority of responses were far less specific – either quoting their duties under the Race Relations (Amendment) Act or general aspirations to have a more representative workforce, treat people fairly and without discrimination, engage local communities and partners, improve access and integrate race equality.

What are the main objectives of your organisation's race equality strategy?

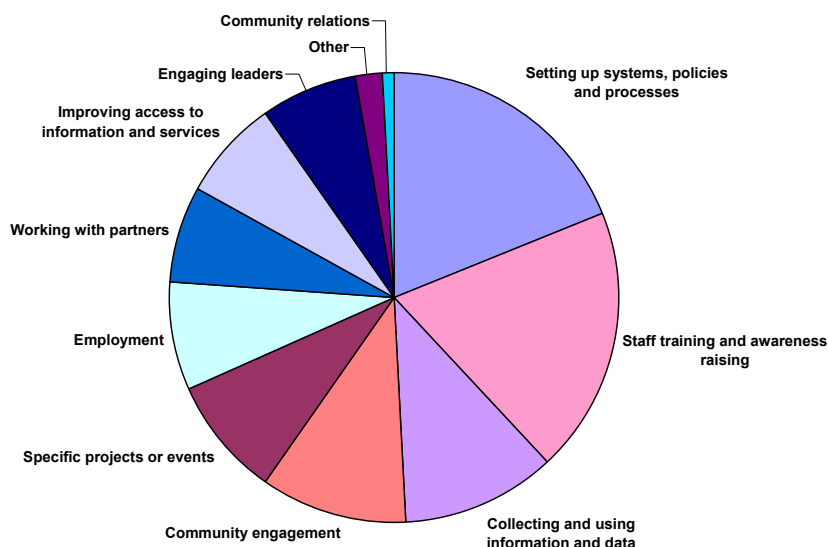


		Race equality champions*
Meeting duties under the Race Relations (Amendment) Act	Promote equality of opportunity (general duty)	11%
	Eliminate unlawful discrimination (general duty)	8%
	Good relations between people of different groups (general duty)	6%
	Specific duties (e.g. writing a race equality scheme, reviewing policies and procedures)	14%
	Meeting RR(A)A duties	6%
Improving service access and delivery		33%
Employment		25%
Others		25%
Collecting and using information		17%
Staff training or awareness raising	Staff training	7%
	Raising staff awareness	13%
Community engagement		7%
Mainstreaming		7%
Outcomes (specific)		4%
Working with partners		3%

*Only race equality champions were asked this question

Respondents were also asked about their race equality achievements to date. The vast majority of these were based around systems, policies and processes (including developing a race equality scheme, collecting data and training staff), indicating that the goals and targets being set are focused on these areas rather than changing local outcomes.

What has been the most successful area of race equality work so far at your organisation?



		Race equality champions*
Setting up systems, policies and processes	Developing a race equality scheme or policy	16%
	Setting up systems and processes	11%
Staff training and awareness raising	Raising staff awareness	13%
	Training and guidance for staff	10%
Collecting and using information and data		16%
Community engagement		15%
Specific projects or events		12%
Employment		11%
Working with partners		10%
Improving access to information and services		10%
Engaging leaders		10%
Other		3%
Community relations		1%

*Only race equality champions were asked this question

Leadership

One in ten race equality champions regard engaging leaders (senior staff and members and non-executive directors) as a key area of achievement so far. Along with implementing a race equality scheme, engaging members and non-executives was one of the areas where respondents were most confident about their progress so far.

How much progress have you made in engaging non-executive directors and members?

	A great deal (3)	A fair amount (2)	Not very much (1)	None at all (0)	Mean
Chief executives	32%	44%	24%	-	2.08
Race equality champions	26%	51%	23%	-	2.03
Resisting	3%	28%	67%	-	1.32
Intending	30%	47%	21%	-	2.08
Starting	18%	56%	26%	-	1.92
Developing	53%	46%	1%	-	2.52

Non executives and members have had more influence on their organisation's race equality work at starting and developing organisations.

How important have non-executive directors and members been in influencing your organisation to address race equality issues?

	Essential (4)	Very important (3)	Fairly important (2)	Not very important (1)	Not at all important (0)	Mean
Chief executives	16%	34%	37%	12%	1%	
Race equality champions	21%	33%	33%	11%	2%	
Resisting	2%	10%	30%	48%	10%	1.46
Intending	4%	31%	54%	11%	-	2.28
Starting	19%	46%	28%	6%	1%	2.77
Developing	41%	34%	23%	1%	-	3.15

Seven per cent of race equality champions cited lack of commitment from non-executives and members as a key barrier to progress, but only one per cent of chief executives agreed.

Likewise, while nine per cent of race equality champions cited lack of commitment from senior staff at their organisation as a barrier, no chief executives recognised this as an issue. The most cited ways in which senior managers demonstrate their commitment to race equality is through approving policies and attending meetings. Around one-quarter demonstrate commitment more visibly to their local communities and staff – by meeting with them and mentioning race equality in speeches and briefings. Less than one-fifth do so by ensuring that race equality plans and policies are implemented (including integrating race equality into other policies and service plans and ensuring that staff followed policies).

How do senior managers in the organisation demonstrate their commitment to race equality?

	All respondents
Approve policy documents	39%
Chair working groups and attend meetings	35%
Meet with black and minority ethnic groups	25%
Regularly mention race equality in speeches and briefings	24%
Attend training	19%
Deliver action plans and implement policies	15%
Integrate race equality into policies and service plans	13%
Monitor performance on race equality	9%
Ensure staff follow race equality policies	7%
Through day-to-day actions (role model behaviour)	3%
Support race equality initiatives	3%
Have an awareness of the issues	3%

Staff understanding, skills and behaviour

Overall, two-thirds of respondents rate their staff as having been an essential or very important influence on their decision to address race equality.

How important have your staff been in influencing your organisation to address race equality issues?

	Essential (4)	Very important (3)	Fairly important (2)	Not very important (1)	Not at all important (0)	Mean
Chief executives	28%	36%	25%	10%	1%	2.82
race equality champions	24%	47%	20%	7%	2%	2.84
Resisting	4%	6%	44%	37%	8%	1.6
Intending	11%	41%	37%	11%	-	2.51
Starting	32%	58%	9%	1%	-	3.19
Developing	49%	40%	11%	-	-	3.38

Respondents were generally confident about the capacity of staff to deal with race equality issues. Overall, three-quarters agreed that their staff had a good understanding of how race equality was relevant to their work, and that their organisation had made good progress in engaging staff and equipping them with the necessary skills and knowledge. The remaining quarter are largely from resisting or starting organisations, indicating that intending organisations are over-confident about the capacity of their staff. Despite this confidence, lack of staff skills, knowledge and understanding was the second most cited barrier to progress (26 per cent overall).

Staff at my organisation have a good understanding of race equality issues and how these affect their work

	Strongly agree (2)	Tend to agree (1)	Neither agree nor disagree (0)	Tend to disagree (-1)	Disagree strongly (-2)	Mean
Chief executives	15%	58%	16%	9%	1%	0.76
Race equality champions	13%	41%	23%	18%	5%	0.40
Resisting	2%	19%	29%	39%	11%	-0.39
Intending	12%	70%	13%	4%	1%	0.89
Starting	6%	38%	29%	21%	5%	0.19
Developing	29%	55%	12%	4%	-	1.10

How much progress have you made in engaging staff across the organisation?

	A great deal (3)	A fair amount (2)	Not very much (1)	None at all (0)	Mean
Chief executives	12%	66%	20%	1%	1.91
Race equality champions	19%	54%	26%	-	1.93
Resisting	-	28%	65%	2%	1.29
Intending	12%	73%	14%	-	1.98
Starting	2%	68%	29%	-	1.73
Developing	40%	52%	8%	-	2.33

How much progress have you made in equipping staff with the skills and knowledge they need?

	A great deal (3)	A fair amount (2)	Not very much (1)	None at all (0)	Mean
Chief executives	6%	63%	29%	-	1.76
Race equality champions	12%	54%	34%	-	1.77
Resisting	-	35%	58%	2%	1.36
Intending	6%	72%	21%	-	1.85
Starting	-	44%	56%	-	1.44
Developing	25%	69%	6%	-	2.19

The vast majority of race equality champions say their organisation's staff have been involved in the development or implementation of race equality work

Have you involved staff in the development of your race equality work?

	Yes	No
Race equality champions*	91%	9%
Resisting	66%	34%
Intending	96%	4%
Starting	89%	11%
Developing	100%	-

* Only race equality champions were asked this question

Engaging black and minority ethnic communities

Overall, two thirds of respondents rate their local black and minority ethnic communities as an essential or very important influence on their decision to address race equality.

How important have local black and minority ethnic communities been in influencing your organisation to address race equality issues?

	Essential (4)	Very important (3)	Fairly important (2)	Not very important (1)	Not at all important (0)	Mean
Chief executives	30%	35%	22%	11%	3%	2.77
Race equality champions	23%	40%	24%	8%	3%	2.74
Resisting	4%	13%	37%	26%	18%	1.58
Intending	6%	38%	36%	18%	2%	2.30
Starting	36%	42%	18%	2%	-	3.14
Developing	51%	42%	7%	-	-	3.45

Compared to other aspects of race equality work, respondents felt least confident around engaging local black and minority communities. Overall, 40 per cent felt they had made little or no progress. Again, intending organisations are likely to be displaying levels of over-confidence.

How much progress have you made in engaging black and minority ethnic communities?

	A great deal (3)	A fair amount (2)	Not very much (1)	None at all (0)	Mean
Chief executives	10%	48%	39%	2%	1.66
Race equality champions	7%	44%	44%	3%	1.58
Resisting	-	18%	70%	12%	1.06
Intending	3%	51%	43%	2%	1.55
Starting	3%	38%	56%	-	1.46
Developing	26%	61%	9%	-	2.77

Despite this lack of confidence, three-quarters of respondents agreed that their race equality work was founded on a good understanding of local needs and only eight per cent cited difficulty consulting with black and minority ethnic communities as a key barrier to progress.

Two-thirds of race equality champions told us that their organisations had involved the local black and minority ethnic communities in the development of their approach to race equality, this rose to 91 per cent for developing organisations and fell to 44 per cent for resisting organisations.

Have you engaged local black and minority ethnic communities in the development of your race equality work?

	Yes	No
Race equality champions*	66%	33%
Resisting	44%	56%
Intending	65%	35%
Starting	54%	42%
Developing	91%	9%

* Only race equality champions were asked this question

Working with partners

Less than one-third of respondents felt that their organisation had not made very much progress in working with public sector partners to address race equality, and only two per cent cited difficulty working with partners as a barrier to progress.

How much progress have you made in working with other public sector organisations?

	A great deal (3)	A fair amount (2)	Not very much (1)	None at all (0)	Mean
Chief executives	16%	55%	26%	2%	1.87
Race equality champions	21%	48%	28%	2%	1.88
Resisting	3%	36%	49%	7%	1.38
Intending	11%	57%	29%	2%	1.77
Starting	12%	57%	27%	-	1.84
Developing	39%	47%	13%	-	2.26

Ten per cent of race equality champions cite working with partners as their most successful area of race equality work so far and three per cent say it is a main objective of their race equality work. The majority say that their organisation is working with others to improve race equality in their area.

Are you working with others to improve race equality in the local area?

	Yes	No
Race equality champions*	88%	9%
Resisting	76%	24%
Intending	77%	9%
Starting	96%	4%
Developing	94%	6%

* Only race equality champions were asked this question

Integrating race equality

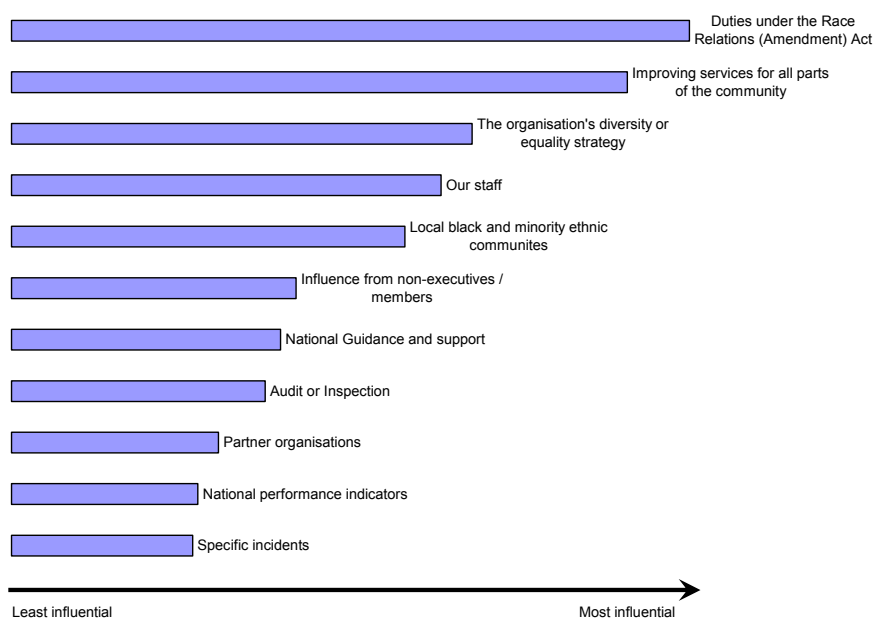
To deliver race equality, it needs to be mainstreamed into every area of an organisation's work. 70 percent of respondents agreed that progress was inconsistent across their organisation and one in ten cited difficulty integrating race equality as a key barrier to progress. Seven per cent reported mainstreaming to be one of their main race equality objectives, while 13 per cent cited integrating race equality as one of the ways that their organisation's leadership demonstrated their commitment.

Some parts of my organisation have addressed race equality issues and improved outcomes, but progress is inconsistent across the organisation

	Strongly agree (2)	Tend to agree (1)	Neither agree nor disagree (0)	Tend to disagree (-1)	Disagree strongly (-2)	Mean
Chief executives	18%	48%	9%	15%	7%	0.57
Race equality champions	30%	40%	7%	21%	2%	0.75
Resisting	36%	40%	7%	11%		1.07
Intending	14%	49%	9%	19%	8%	0.43
Starting	36%	39%	12%	12%	1%	0.96
Developing	16%	47%	4%	25%	7%	0.42

National influence, guidance and support

Overall, the RR(A)A has been the biggest influence on race equality activity. This is reflected by the relative importance of diversity and equality strategies, which in most cases will be the race equality scheme required by the specific duties under the Act. Respondents at starting and developing organisations were more likely to say that the factors they were asked about had been influential; this is likely to reflect the fact that they are more engaged with race equality overall. Likewise, race equality champions reported higher levels of influence than chief executives.



How important have your duties under the Race Relations (Amendment) Act been in influencing your organisation to address race equality issues?

	Essential (4)	Very important (3)	Fairly important (2)	Not very important (1)	Not at all important (0)	Mean
Chief executives	35%	50%	13%	1%	-	3.21
Race equality champions	51%	43%	3%	3%	-	3.43
Resisting	30%	46%	17%	2%	-	3.10
Intending	19%	64%	12%	5%	-	2.98
Starting	54%	43%	3%	-	-	3.51
Developing	65%	29%	5%	-	-	3.60

How important has audit or inspection of your organisation been in influencing your organisation to address race equality issues?

	Essential (4)	Very important (3)	Fairly important (2)	Not very important (1)	Not at all important (0)	Mean
Chief executives	12%	32%	36%	15%	3%	2.36
Race equality champions	19%	40%	28%	9%	3%	2.65
Resisting	3%	21%	43%	23%	9%	1.86
Intending	5%	20%	48%	19%	6%	1.99
Starting	21%	49%	24%	6%	-	2.85
Developing	28%	48%	19%	5%	-	3.00

How important have National performance indicators been in influencing your organisation to address race equality issues?

	Essential (4)	Very important (3)	Fairly important (2)	Not very important (1)	Not at all important (0)	Mean
Chief executives	10%	25%	32%	28%	5%	2.07
Race equality champions	16%	45%	30%	6%	2%	2.68
Resisting	4%	24%	44%	23%	6%	1.97
Intending	2%	20%	35%	35%	7%	1.76
Starting	23%	45%	23%	4%	2%	2.84
Developing	18%	45%	28%	8%	-	2.73

For starting organisations, national guidance and support has been particularly influential, reflecting the relatively short amount of time that they have been addressing race equality and the influence of the RR(A)A upon them.

How important has national guidance and support been in influencing your organisation to address race equality issues?

	Essential (4)	Very important (3)	Fairly important (2)	Not very important (1)	Not at all important (0)	Mean
Chief executives	10%	29%	43%	15%	2%	2.31
Race equality champions	15%	49%	33%	3%	-	2.75
Resisting	3%	25%	53%	18%	-	2.13
Intending	2%	15%	63%	15%	2%	2.01
Starting	16%	65%	16%	1%	2%	2.90
Developing	2%	15%	63%	15%	2%	2.01

Appendix 1 – Sample stratification

Names, address details and phone numbers of chief executives from English and Welsh Councils, Acute Trusts, PCTs, Welsh Health Boards, and chief constables of English and Welsh forces were provided to NOP by the Audit Commission.

The sample was divided into four groups according to the proportion of population from black and minority ethnic communities – under 4 per cent, four-ten per cent, 11-20 per cent and over 20 per cent (the latter two groups were combined for the final analysis). The Audit Commission provided NOP with ethnicity scores for local authorities, based on the proportion of the population **not** defining themselves as 'white British' in the 2001 census. NOP then correlated local authority ethnicity scores to health organisations and police force areas.

A score for the urban/rural nature of each area, based on population density, was calculated by NOP. The scores were based on an average of the scores for each Enumeration District (ED) in the area concerned (based on 1991 Census data), using the ONS definition of rural - less than 2.8 people per hectare. A score of between 0 and 1 was attributed to each Council area, with 1 being completely urban (all EDs containing 2.8 people or more per hectare) and 0 being completely rural (all EDs containing less than 2.8 people per hectare). For the Counties, the average score from its Districts was arrived at. For health organisations and police forces, the information was applied based on which District or County the unit resided in and, in the case of acute trusts, local knowledge.

The resultant sample contained the name of the chief executive/chief constable, address details, a telephone number, a score for ethnicity and a score for the urban/rural nature of the area of responsibility of each body.

Appendix 2 – Advance letter

April 2003

Dear *Name*

Audit Commission Study of Race Equality in the Public Sector

The Audit Commission is carrying out a research study looking at race equality in the public sector, specifically looking at local authorities, police forces and health bodies (PCTs and acute trusts). One aspect of this work is a telephone survey of a sample of Chief Executives, Chief Constables and Race Equality leads of these organisations. We have commissioned NOP Research, a leading independent research agency, to conduct the survey.

For this work to be successful it is vital that we talk to the *[insert Job Title Merge field here]* directly rather than an assistant or anyone else in the organisation.

In anticipation of your help in this important study, an NOP interviewer will contact you some time in the next couple of weeks. If it is not convenient to speak then, please let them know and arrange a more convenient time for them to call back. The whole interview should not take more than about 15 minutes.

As part of the survey we are also seeking to speak to someone else in your organisation who has day-to-day responsibility for race equality issues. This may be the person who oversees your race equality scheme, for example. Towards the end of the questionnaire the interviewer will ask you for details of someone in your organisation who fits this description with the aim of conducting a survey with them. In line with the Market Research Society's Code of Conduct and the Data Protection Act, all interviews are anonymous.

If you would like to talk to someone at NOP about this survey, you can call Alan Worley on 0207 890 9743 (a.worley@nopworld.com). If you would like to know more about this study you can also visit www.audit-commission.gov.uk/raceequality. If you have any other queries about the study, please do not hesitate to contact me on 020 7396 1436 (f-keene@audit-commission.gov.uk) or my colleague Debbie Causer on 020 7396 1489 (d-causer@audit-commission.gov.uk).

Should you take part in this interview, we would like to take this opportunity to thank you for your time.

Yours sincerely

Fran Keene
Project Manager

Appendix 3 – The questionnaire

Study of Race Equality in the Public Sector – Telephone Questionnaire

CE refers to Chief Executive
EC refers to Equality Champion

After making contact with named respondent:

IF CE - Hello. My name is from NOP Research. You should recently have received a letter from the Audit Commission regarding some research they have asked us to carry out on their behalf on race equality in the public sector. The survey will take approximately 15 minutes. Is this a convenient time to talk or would you like me to call back later? **ARRANGE CALL BACK IF NECESSARY.**

IF EC – Hello. My name is from NOP Research. We are conducting some research on behalf of the Audit Commission on race equality in the public sector. We have already conducted a survey with your Chief Executive and the Audit Commission would also like us to talk to someone who has a more day-to-day responsibility for race equality issues. The Chief Executive gave your name as the person most closely matching this role. The survey will take approximately 20 minutes. Is this a convenient time to talk or would you like me to call back later?

The information we collect will not be looked at an individual level, so it will not be possible for your answers to be related back to you. All data will be aggregated before it is given to the Audit Commission.

Importance of race equality

Q1. Thinking about the drive to modernise and improve public services, how important do you think addressing race equality is to delivering improved services to your local community? [CE and EC]

Essential
Very important
Fairly important
Not very important
Not at all important
Don't know

Q2. To what extent is race equality part of the overall objectives of your organisation ? [to CE and EC] Would you say.... **READ OUT**

A great deal
A fair amount
Not very much
Not at all
Don't know

Attitudes

Q3. I am going to read out a series of statements that could describe an organisation's progress on racial equality and I would like you to tell me to what extent you agree that they describe your organisation? [both] **ROTATE. READ OUT STATEMENTS.**

Strongly agree / tend to agree / neither agree nor disagree / tend to disagree / Disagree strongly/ DK

- *Race equality work is founded on a good understanding of the needs of local Black and minority ethnic communities and staff.*
- *Race equality is not an issue which significantly affects my organisation or the community it serves.*
- *Some parts of my organisation have addressed race equality issues and improved outcomes, but progress is inconsistent across the organisation.*
- *Staff at my organisation have a good understanding of race equality issues and how these affect their work.*
- *Unacceptable staff language and behaviour is effectively addressed.*
- *Addressing race equality has meant changing my organisation's priorities.*
- *It is hard for my organisation to know where to start in addressing race equality issues.*
- *My organisation has made good progress on race equality compared to similar organisations.*

Mapping outcomes

Q4. What are the main objectives of your organisation's race equality strategy? [EC only] **ALLOW UP TO 3 OBJECTIVES.**

Open question

Q5. What would you say has been the most successful area of race equality work so far at your organisation? [EC only] **ALLOW ONE RESPONSE.**

Open question

Progress

Q6. Roughly how long has your organisation been implementing race equality initiatives?[EC only] **DO NOT PROMPT**

Under 2 years
2 – 4 years
5-10 years
Over 10 years
Don't know

Other

- Q7. Thinking about some of the activities that public sector organisations may undertake to address race equality, how would you describe the progress your organisation has made on the following? Please tell me for each whether you think you have made a great deal of progress, a fair amount, not very much or no progress at all. [to CE and EC] **READ OUT STATEMENTS.**

Rotate Statements

Great Deal of progress/ Fair amount of progress/ Not very much progress/ No progress at all/ Don't Know

- Implementing a race equality scheme.
- Identifying what outcomes the organisation needs to improve for Black and minority ethnic staff and users.
- Making resources available.
- Engaging staff across the organisation.
- Engaging local Black and minority ethnic people and users.
- Working with other local public sector organisations.
- Setting goals and targets.
- Equipping our staff with the skills and knowledge they need.
- Engaging non-executive directors (health), police authority members (police), members (local government).

Working with others

Q8. Are you working with others to improve race equality in your local area? [EC only]

Yes

No

Don't know

If no or Don't know – go to Q.10

Q9. IF YES..... What types of organisation are you working with?

Prompt – 'any other types of organisation?

a council

a pct

a police force

local Black and minority ethnic voluntary groups

external consultants

a private sector organisation

a hospital trust

Other...(specify)

Q10. Have you engaged your local Black and minority ethnic communities in the development of your approach to race equality at your organisation? [EC only]

Yes

No

Don't know

If no – go to Q.12

Q11. IF YES.....What things have you done to involve local Black and minority ethnic people in the development of the race equality work at your organisation?

Prompt – ‘and what else?’

- Area forums
- Community meetings
- Meeting with Black and minority ethnic voluntary organisations
- Working with Black and minority ethnic voluntary organisations
- Citizen’s panel
- Involving them in redesign of services
- Surveys of Black and minority ethnic people’s views
- Advice from members
- Lay people in service review teams
- Focus groups
- Funding local Black and minority ethnic groups
- Outreach working to consult hard to reach groups
- Other (specify)
- Don’t know

Q12 Have you involved your staff in the development or implementation of race equality work? [EC only]

Yes

No

Don’t know

If no or Don’t know – go to Q.14

Q13 IF YES.....What things have you done to involve your staff

Prompt – ‘anything else?’

- Staff training
- Info on intranet
- Written briefings to staff
- Consultation with staff
- Workshops, presentations, seminars
- Staff involved in project teams changing services
- Team discussions about impact of race equality on their work.
- Dealing with inappropriate behaviour
- Forming Black and minority ethnic staff groups
- Creating diversity/race equality champions
- Other (specify)
- Don’t know

Q14. How do senior managers in the organisation demonstrate their commitment to race equality? [CE/EO]

- Regularly mention race equality in speeches/briefings.
- Meeting Black and minority ethnic community groups etc
- Chairing equalities working groups
- Approve policy documents
- None
- Other (specify)
- D/K

Drivers

Q15. I am going to read out a list of factors, which may or may not influence an organisation to address race equality issues. Please tell me for each whether it has been an essential, very important, fairly important, not very important, or not at all important factor in influencing your organisation to address race equality. [both]

Essential/ Very Important/ Fairly Important/ Not Very Important/ Not At All Important/ Don't Know

Rotate Statements

- Your duties under the Race Relations (Amendment) Act
- Audit and inspection of your organisation
- National Performance Indicators
- National Guidance and support
- Local Black and minority ethnic people
- Partner organisations (voluntary or public sector)
- Your staff
- Improving services for all parts of the community
- Influence from members (local authorities) / non-executive directors (health) / police authority (police)
- Specific incidents where something has gone wrong or highlighted a problem
- The organisation's diversity or equality strategy
- Anything else (specify)

Support

- Q16. Are there any external sources of help and guidance that have been helpful in developing the race equality work that your organisation has undertaken?
[EC only] **Prompt – any more / anything else?**

Guidance

CRE guidance
Home Office guidance
Department of Health guidance (health only)
Local Government Association guidance (Local authorities only)
Employers Organisation guidance (Local Authorities only)
Association of Chief Police Officers guidance (police only)
Other guidance – ask who published guidance (specify)

Inspection / audit

Commission for Health Improvement Inspections (health)
Best Value Inspection (local authorities / police)
Inspection/s by Her Majesty's Inspectorate of Constabulary Inspections (police)

Other

Local external audit work
Sharing learning / experience with peers
Attendance at seminars / conferences
Learning from articles and journals
Advice from external consultants
Other (specify)
No, nothing

- Q17. What, if any, extra support does your organisation need to develop race equality work at the organisation further? [EC only]

Same list as above but include
Funding
Don't need anything

Barriers and overcoming them

Q18. What are the main barriers preventing progress on race equality work at your organisation? [both] **DO NOT PROMPT. ALLOW MULTICODES UP TO 3.**

Lack of information and data on black and minority ethnic staff and users
Difficulty consulting the black and minority ethnic community
Staff lacking the necessary skills / knowledge
Lack of funding / resources for race equality work
Difficulty working with partners in the public sector
Lack of commitment to race equality from senior staff
Lack of commitment to race equality from Non-Executive Directors (health) /members (local authorities) / police authority (police)
Race equality not being integrated into every area of the organisation's work
Inappropriate staff attitudes and / or behaviour
The difficulty of integrating race equality into all areas of the organisation
Lack of understanding of race equality issues amongst staff
Lack of staff confidence in dealing with race issues
Lack of external support and guidance
Contradictory messages from the centre on priorities
None, no barriers
Other (Specify)
Don't know

Thank and Close

Appendix 4 – Factor analysis

Twenty-five questions were grouped into eight factors, on the basis that their constituent questions showed a high degree of correlation (i.e. if a respondent gave a particular answer to one of the questions in the factor, they were likely to have given a corresponding answer to the other questions in the factor). For instance, for factor one, those who gave a positive answer when asked about their progress equipping staff with the skills and knowledge they need were likely to have given a positive answer when asked whether or not staff have a good understanding of race equality issues. Each factor is concerned with a particular theme. The eight factors, and their constituent questions, are shown in the table below.

Factor	Theme	Factor Solution
1	Engagement, knowledge and skills	Q7_4 Progress engaging staff across the organisation Q7_8 Progress equipping our staff with the skills and knowledge they need Q3_4 Staff have a good understanding or race equality issues Q7_9 Progress engaging members and non-executive directors
2	Confidence	Q3_8 The organisation has made good progress compared to similar organisations Q3_7 It is hard to know where to start Q18 'lack of external support' barrier
3	Progress on outcomes	Q7_2 Progress identifying what outcomes the org needs to improve for black and minority ethnic staff and users Q7_3 Progress making resources available Q7_5 Progress engaging local black and minority ethnic people Q7_7 Progress setting goals and targets
4	Influencers - internal	Q15_7 Influencers: Your staff Q15_8 Influencers: Improving services for all parts of community Q15_10 Influencers: Specific incidents where something has gone wrong
5	Influencers - local external	Q15_5 Influencers: Local black and minority ethnic people Q15_6 Influencers: Partner organisations Q15_9 Influencers: Influence from members and non-executives
6	Rationale	Q15_3 Influencers: National Performance Indicators Q15_2 Influencers: Audit and inspection of org Q15_4 Influencers: National Guidance and support Q15_1 Influencers: Duties under Race Relations (Amendment) Act
7	Influencers - national	Q3_2 Race equality is not an issue which affects the organisation or community Q1 How important do you think addressing race equality is to delivering improved services? Q2 To what extent is race equality part of the overall objectives of your organisation? Q3_6 Addressing race equality has meant changing the organisations priorities

8	Working with others	Q7_6 Progress working with other local public sector organisations
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The respondents were grouped into four clusters that represented similar attitudes and opinions, based on their scores for each factor. The Audit Commission defined the clusters in accordance with the common characteristics they displayed, based on their qualitative research. The clusters are shown below defined by their results for each factor. In the pictorial representation, marks to the left of centre represent a negative answer for that factor, and marks to the right represent a positive answer for that cluster.

Cluster one was defined as 'intending', cluster two as 'developing', cluster three as 'resisting', and cluster four as 'starting'.

Cluster profiles

	1 Cluster -----	2 Cluster -----	3 Cluster -----
1: PROGRESS TRAINING KNOWLEDGE	.xx	.XXXXXXXX	XXXXXXXXXXXXX.
2: CONFIDENCE	.xxx	.XXXXXXXX	XXXXXXXXXXXXX.
3: PROGRESS ON OUTCOMES	.	.XXXXXXXXXXXXX	XXXXXXXXXXXXX.
4: INFLUENCERS INTERNAL	xxxxx.	.xxxxxxx	XXXXXXXXXXXXX.
5: INFLUENCERS EXTERNAL	xxxxx.	.xxxxxxx	XXXXXXXXXXXXX.
6: RATIONALE	xxxxx.	.xxxxxxx	XXXXXXXXXXXXX.
7: INFLUENCERS NATIONAL	xxxxxxxx.	.xxxxxx	XXXXXXXXXXXXX.
8: WORKING WITH PARTNERS	xx.	.xxxxxxx	XXXXXXXXXXXXX.
	 4 Cluster -----		
1: PROGRESS TRAINING KNOWLEDGE	xxxxx.		
2: CONFIDENCE	xxxxxx.		
3: PROGRESS ON OUTCOMES	xxxxx.		
4: INFLUENCERS INTERNAL	.xxxxxx		
5: INFLUENCERS EXTERNAL	.xxxxx		
6: RATIONALE	.xx		
7: INFLUENCERS NATIONAL	.xxxxxx		
8: WORKING WITH PARTNERS	x.		