



Ministry  
of Justice

# **National Offender Management Service Staff Equalities Annual Report**

**2015/16**

Ministry of Justice  
Statistics Bulletin

Published 24th November 2016

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## Introduction

This report considers profiles and processes of the National Offender Management Service (NOMS) workforce from an equalities perspective.

NOMS delivers services directly through public sector prisons and the National Probation Service. The information presented in this bulletin relates to staff employed by NOMS, who are all civil servants. Other workers within NOMS who are employed by third parties are not included.

The equality objectives of NOMS are stated, along with progress and achievements, in the NOMS Annual Report and Accounts 2015/16:

[www.gov.uk/government/publications/noms-annual-report-and-accounts-2015-2016](http://www.gov.uk/government/publications/noms-annual-report-and-accounts-2015-2016)

There are many interactions between characteristics of staff that influence outcomes on staff processes. These include interactions between protected characteristics, such as between age and race, as well as other factors such as grade level and geographical region. It is not possible within a report of this size to explore all of these interactions. Important considerations, such as differences in grade levels and how they may effect different groups of staff are highlighted but no detailed analysis is included that removes the interactions and allows the unique contribution of protected characteristics to be isolated.

Workforce statistics for NOMS are also published through the NOMS Quarterly Workforce Bulletin:

[www.gov.uk/government/collections/national-offender-management-service-workforce-statistics](http://www.gov.uk/government/collections/national-offender-management-service-workforce-statistics)

This report covers staff processes with reference to protected characteristics as set out below.

<u>Staff Process</u>	<u>Protected Characteristic</u>
Total Staff in Post	Sex
Recruitment	Age
Temporary Cover	Race
Promotions	Disability
Staff Appraisals	Sexual Orientation
Special Bonuses	Religion / Belief
Grievances	
Investigations	
Conduct and Discipline Cases	
Sickness Absence	
Leavers	

Offender equalities statistics for 2015/16 will be published in the accompanying report, on 24 November 2016, available at:

[www.gov.uk/government/statistics/announcements/noms-annual-offender-equalities-report-2015-to-2016](http://www.gov.uk/government/statistics/announcements/noms-annual-offender-equalities-report-2015-to-2016)

### **Release Schedule**

The next edition of the NOMS Staff Equalities Annual Report, covering 2016/17, is scheduled to be published on 30 November 2017.

## Summary

1. Females accounted for 46.8% (21,492) of staff in NOMS as at 31 March 2016, an increase of 2.1 percentage points on the previous year
  - 35.6% (63) of senior leaders in public prisons and NOMS HQ (Senior Civil Servants, and governors) are female.
  - The NPS has higher female representation than the other parts of NOMS.
2. The largest age band is 50-59, which has 29.8% (13,685) of all staff. Meanwhile, the proportion of those aged under 30 has increased from 10.5% as at 31 March 2015 to 13.1% (6,002) as at 31 March 2016.
3. 7.9% (2,794) of staff who declared their race were in a Black, Asian or Minority Ethnic (BAME) group. Caution should be used in interpreting this figure as there are different declaration rates across the different parts of NOMS. Across NPS grades for example, the declaration rate was only 49.6%.
4. 57.4% of staff declared their disability, 30.2% of staff declared their religion, and 29.9% declared their sexual orientation, which are below the threshold at which meaningful representation rates can be considered.
5. The promotion rate for female staff was higher in 2015/16 at 4.7% (880) than for males at 3.4% (734). This is a consistent trend over the past 4 years.
6. In 2015/16, staff under the age of 30 had the highest rate of promotion at 7.2% of staff in post compared to 2.0% for the 50-59 age group and 1.3% for staff over 60.
7. BAME staff had a higher promotion rate at 4.9% than White staff at 3.8% in 2015/16.
8. Staff Appraisal outcomes were worse for male staff, staff aged under 30 and over 60 and Black staff. Independent of protected characteristics, more senior staff receive better appraisal markings
  - 2.8% of markings for 2015/16 were 'Must Improve' and 14.2% were 'Outstanding'
9. Female staff were awarded a higher proportion of 'Outstanding' markings (17.7%) than male staff (11.1%)
  - A higher than average proportion of staff aged under 30 received 'Must Improve' at 4.2%. This was a large increase on the 2.4% of 'Must Improve' markings for under 30s in the previous year.
  - The proportions of 'Must Improves' were highest for Black staff (5.7%) and Asian staff (5.4%). Black staff received notably lower proportions of 'Outstanding' markings than any other group (7.8%).
10. In 2015/16, the rate and average value of bonuses awarded was very similar for declared BAME staff, at 2.7 per 100 staff, £762, as for White staff, 2.7 per 100 staff, £769.
11. The rate of bonuses awarded in 2015/16 to those who declared as disabled was 1.9 per 100 people, lower than those awarded to non-disabled staff, 2.8 per 100 people, although the value of bonuses awarded were similar.
12. Of the 1,241 grievance cases concluded in 2015/16, 45% (559 cases) were upheld or partially upheld.
13. Overall, female staff raised fewer grievances in 2015/16, at a rate of 2.0 per 100 staff, than males, 2.4 per 100 staff. This overall finding may be distorted by the higher

rate of grievances amongst band 3-5 prison officers (2.9 per 100 staff), who are predominantly male.

14. In 2015/16, there was a tendency for the rate of grievances to increase with age from 1.1 per 100 staff for staff aged under 30, to 2.7 per 100 staff for staff aged 50-59.
15. In each individual grade group, BAME staff were more likely to raise a grievance with the exception of non-operational below manager grades,.
16. Overall, female staff were investigated at around half the rate of male staff in 2015/16, 2.1 per 100 females compared to 4.0 per 100 males. As for investigations, the rate of conduct cases involving female staff was around half the rate for male staff, 0.8 per 100 female staff compared to 1.8 per 100 male staff.
17. The proportion of BAME staff investigated in 2015/16 was substantially higher than the proportion of White staff investigated, 5.1 per 100 staff compared to 3.2. Similarly, a much larger proportion of BAME staff, 2.5 per 100 staff, were subject to conduct and discipline action than White staff at 1.3 per 100 staff.
18. In 2015/16, the average working days lost (AWDL) to sickness absence increased with age. Under 30s had the lowest AWDL at 6.0 days, rising through each age group to the over 60's who had the highest AWDL at 14.7.
19. The average working days lost to sickness absence is higher for females than for males across all staff positions and locations
20. In 2015/16 the AWDL was higher for White staff at 10.5 days than for BAME staff at 9.8
21. The leaving rate for female staff was lower in the 12 months ending 31 March 2016 at 6.7% than the rate for male staff at 8.1%.
22. BAME staff had a slightly lower leaving rate at 6.6% in the 12 months ending 31 March 2016 than White staff at 7.3%.

## Commentary

Protected characteristics information is recorded for NOMS staff on gender, age, race, disability, sexual orientation and religion / belief, and work pattern. Caution should be exercised in attempting to make comparisons between the composition of the NOMS workforce and the wider population of England and Wales on the basis of protected characteristics. There is substantial regional variation of these distributions in the general population, and NOMS staff are not distributed across England and Wales in the same proportions as the general population, rendering such comparisons invalid.

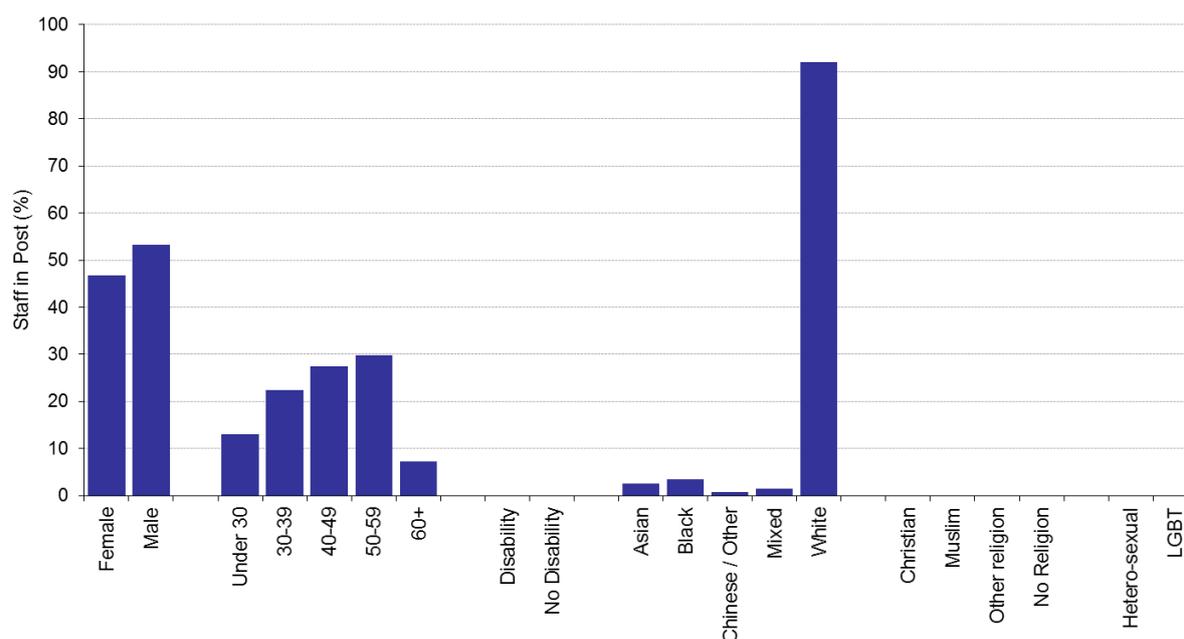
Data on the protected characteristics race, disability, sexual orientation and religion / belief are collected from self-declared, non-compulsory fields on the Human Resources Management System (HRMS). With lower declaration rates, the risk of bias increases greatly, and the accuracy of a representation rate based on known declarations falls rapidly. Consequently, when a declaration rate falls below 60%, no representation rate is provided.

### Total Staff in Post

As at 31 March 2016, there were 45,909 staff (headcount) in NOMS, a decrease of 533 (1.1%) on the previous year. The workforce on 31 March 2016 consisted of 32,835 staff in public sector prisons (PSP), 9,631 in the National Probation Service (NPS) and 3,443 in NOMS HQ and area services.

Figure 1 shows the make-up of the workforce across the available protected characteristics. Representation rates are only illustrated where information is recorded for over 60% of staff. Additional details on staff in post can also be found in the supplementary tables 1a to 1c.

**Figure 1: NOMS Staff By Protected Characteristics – 31 March 2016**



## *Gender*

Females accounted for 46.8% (21,492) of staff in NOMS as at 31 March 2016, an increase of 2.1 percentage points on the previous year when there were 20,786 females.

35.6% (63) of senior leaders in public prisons and NOMS HQ (Senior Civil Servants, and governors) are female. Males account for 67.9% (572) of operational manager bands 7-9, 75.3% (14,373) of prison officer bands 3-5, and 57.0% (2,823) of Operational Support Grades.

The majority of staff in non-operational grades (in prisons, NOMS HQ and Area Services), are female, 53.0% in manager grades up by 3.5pp from 49.5% in March 2015, and 65.5% in grades below management level up by 8.5pp from 57.0%. Females have increased their representation across all regions in the past 12 months. The lowest level of female representation was Yorkshire and the Humber, where they account for 37.0% of staff, while in NOMS HQ, where they comprise 58.3% of all staff, up by 4.7pp from 53.6% in March 2015.

The NPS<sup>1</sup> has higher female representation than the other parts of NOMS. Females predominate in the NPS at all levels, comprising 64.9% (87) in senior NPS roles (NPS bands A-D), 67.7% (626) in NPS bands 5-6, and 76.1% (6,608) in NPS grades below management level (which includes probation officers at band 4).

## *Age*

Since last year, the age distribution of NOMS staff has changed. The largest age band is 50-59, which has 29.8% (13,685) of all staff. This age band has replaced the 40-49 age group, which was previously the largest between 2012 and 2014. 64.5% (29,593) of NOMS staff were aged over 40 on 31 March 2016. The proportion of those aged under 30 has increased from 10.5% as at 31 March 2015 to 13.1% (6,002) as at 31 March 2016.

NOMS HQ has the youngest staff, with 39.5% (1,374) aged under 40. This is an increase on the previous year figure of 34.6%. The North East region has the oldest staff, with 40.6% (1,575) of staff are 50 or over.

By grade, 41.3% (3,581) of NPS grades below management level are aged under 40, while 58.2% (103) of senior leaders in prisons and SCS are 50 or over, up from 54.5% in March 2015.

## *Race*

76.6% of staff have declared their ethnicity. Of these, 7.9% (2,794) were in a Black, Asian or Minority Ethnic (BAME) group. Caution should be used in interpreting this figure as there are different declaration rates across the different parts of NOMS. In NPS grades, the declaration rate was only 49.6%. The lower declaration rates are due to protected characteristics information not being migrated from Probation Trusts when the NPS was formed in 2014. The limited data available on NPS staff suggest that they have a different pattern of BAME representation and therefore having a larger proportion of missing data

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<sup>1</sup> In this report NPS staff are reported according to grade and therefore vary slightly from the total number of staff in the NPS due to the small number of NPS staff in non-NPS grades.

for this group suggests that the real level of BAME representation across NOMS may not reflect the reported figures.

Geographically, London has the highest percentage of BAME staff, accounting for 31.6% (1,009) of declarations, up from 28.7% last year. This reflects the higher BAME percentage in the general population. BAME staff have the lowest representation in the South West region at 3.0% (71) of all staff, up from 2.5% last year. BAME representation has increased in all regions in the last 12 months.

By grade, of those with a declaration rate high enough to make a representation rate meaningful, the lowest BAME representation is for prison officer bands 3-5 at 5.6% (923), showing no real change from the year before (5.4%).

### *Other protected characteristics*

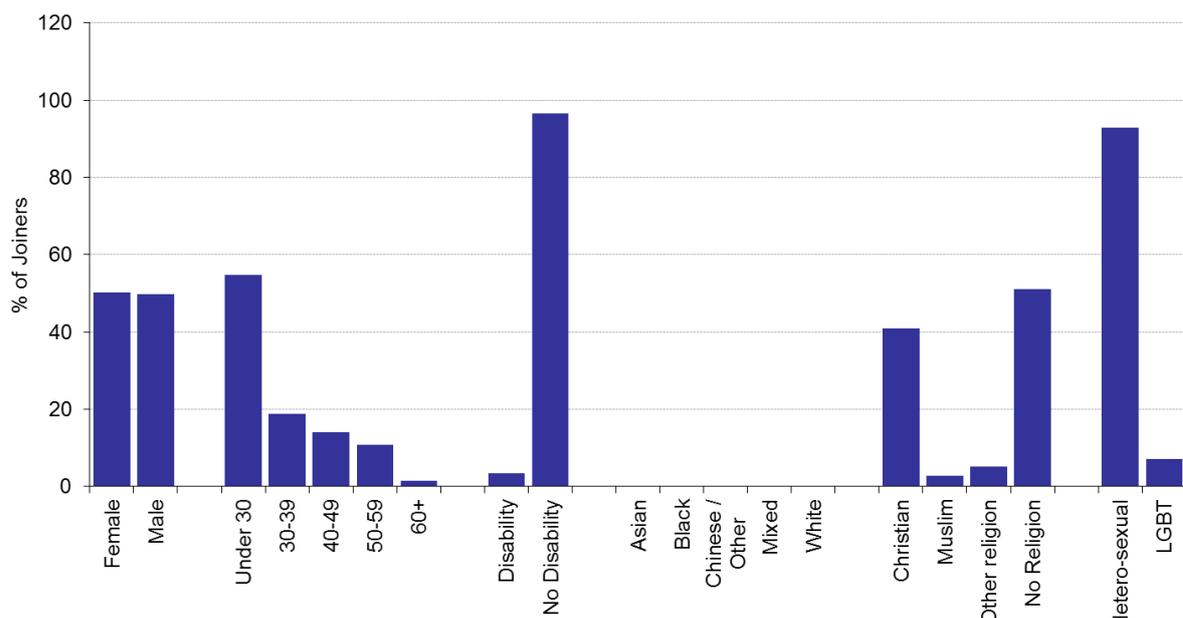
57.4% of staff declared their disability, which is below the threshold at which meaningful representation rates can be considered.

Similarly only 30.2% of staff declared their religion, and 29.9% declared their sexual orientation. It is not meaningful to consider representation rates while declaration rates remain so low.

## **Recruitment**

The number of staff appointed to NOMS has increased from 655 in 2012/13 to 4,668 in 2015/16. 2015/16 saw NOMS recruit 906 more staff than in 2014/15, an increase of 24%. The largest group of recruits is to Band 3 to 5 officer, with 1,802 in the 12 months to 31 March 2016. Figure 2 shows a breakdown of the recruits in terms of protected characteristics; additional details can also be found in the supplementary tables 2a to 2c.

**Figure 2: NOMS Recruits By Protected Characteristics – 2015/16**



Overall the percentage of males and females who joined NOMS in 2015/16 is roughly equal, although this varies considerably by grade. Among the 1,802 band 3-5 officers who joined in 2015/16, 66.5% were male. Among the 910 operational support grades (OSG) who joined in the 12 months to 31 March 2016, 58.4% were male. In contrast the majority of non-operational joiners were female, 65.5% of non-operational managers and 62.9% of non-operational staff below management level. These proportions are roughly similar to those who joined in 2014/15. Females also made up the vast majority of new recruits to NPS grades, below management level, accounting for 81.1%, up from 74.5% of new recruits in 2014/15.

The largest group of joiners are in the under 30 age category, 2,555 (54.7%) of those who joined in 2015/16. For band 3-5 officers this proportion was 69.0%. 26.5% of all new recruits in 2015/16 were 40 or older. This proportion increased to 58.6% for non-operational managers in prisons and NOMS HQ, while only 10.3% of newly recruited prison officers bands 3-5 were 40 or older.

In terms of ethnicity, declaration rates have increased substantially since 2012/13. Overall declaration rates for joiners in 2015/16 was 57.0% although, which remains below the level where it is meaningful to derive the representation rate for BAME staff. In certain grades however the declarations are sufficient to allow analysis. Across the more junior NPS grades (bands 1-4) 16.8% of recruits in 2015/16 who declared, were from a BAME background. In contrast, 10.6% of OSG recruits were from a BAME background. This provides some evidence of higher BAME representation in the NPS than in the rest of NOMS.

The proportion of new recruits who declared their disability status was 78.4%, this has increased from 13.7% in 2012/13. For those who joined and declared their disability status in 2015/16 3.4% indicated they had a disability across all of NOMS. 1.7% of prison officer band 3-5 recruits declared a disability, while 6.9% of NPS recruits below manager grades declared a disability.

For religious affiliations, 75.7% of recruits across all parts of NOMS made a positive declaration. Of those 41.0% declared themselves as Christian, 8.0% declared they were of a religion other than Christian and 51.0% declared they had no religion. For establishments in the Greater London area, 15.6% of new recruits who declared religion were of a non-Christian faith.

Considering the sexual orientation of new recruits to NOMS, 74.9% gave a positive declaration and of those, 7.1% declared they were Lesbian, Gay, Bisexual or other. The proportion declaring as Lesbian, Gay, Bisexual or other varied by grades from 9.8% for prison officers to 3.6% for non-operational recruits below manager.

## **Temporary Cover**

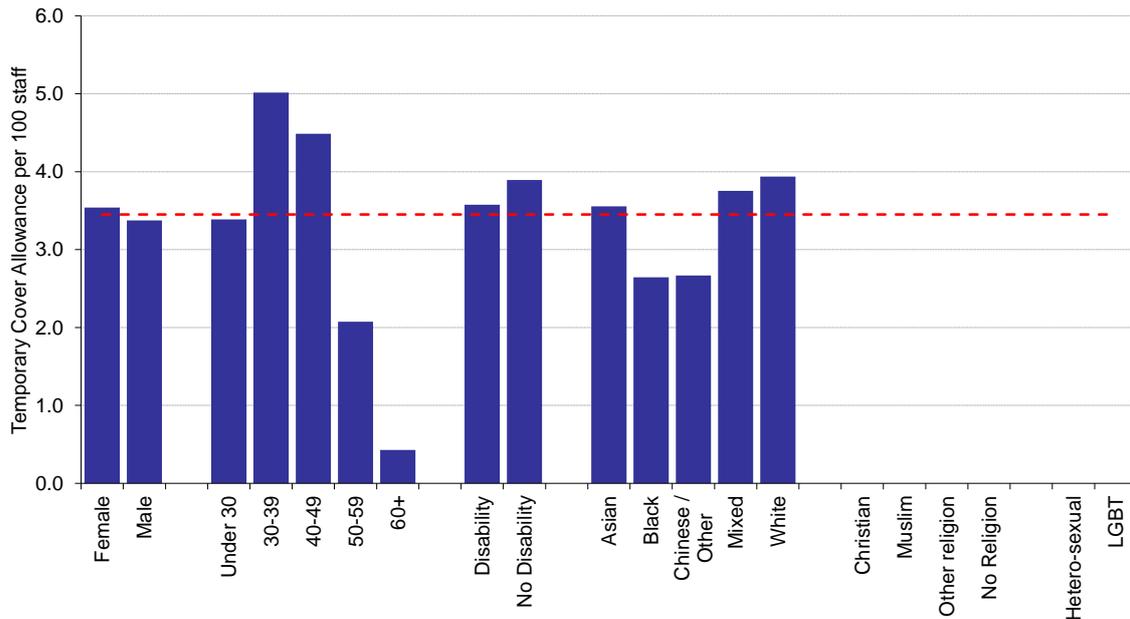
Temporary cover payments are a system that enables staff to work temporarily in a more senior role and receive an additional payment while this work is undertaken. The NPS have a different system of temporarily filling higher roles and are not covered by this part of the report.

Although temporary cover payments tend to be received for a considerable duration, while an individual covers a role at a higher grade on a temporary basis, these figures are as

snapshots at a moment of time at the end of a financial year. As such, they may not accurately represent the rates of those receiving cover payments during the financial year.

As at 31 March 2016, 1,576 staff were receiving temporary cover allowances, for filling posts of a higher grade on a temporary basis. This represents 3.5% of staff, consistent with 3.4% of staff on temporary cover in the previous year. The rate of temporary cover allowances is illustrated in figure 3, additional details can also be found in the supplementary tables 3a to 3c.

**Figure 3: Temporary Cover Allowances per 100 staff, 2015/16**



3.5% of females were on temporary cover, comparable with 3.4% of males. In the previous year, a slightly higher proportion of males had been on temporary cover than females (3.7% compared to 3.0%). There are substantial differences in the gender balance by grade group, most notably for operational managers, where 17.4% of female operational managers and 10.9% of male operational managers were on temporary cover as at 31 March 2016. Also, NPS managers had 11.6% of females on temporary cover compared to 9.0% of males. A slightly higher proportion of male staff in NOMS HQ were on temporary cover (5.7% of males compared to 5.1% of females).

Temporary cover payments are most prevalent among those aged 30 to 39. 5.0% of 30 to 39 year olds and 4.5% of 40 to 49 year olds were receiving cover payments on 31 March 2016, compared to 3.4% of under 30s, 2.1% of 50 to 59 year olds, and only 14 individuals aged 60 or over. This is broadly consistent with the previous year.

3.1% of BAME staff were receiving temporary cover payments as at 31 March 2016, compared to 3.9% of White staff. This represents a slight improvement to the ethnicity distribution in the previous year (when 2.8% of BAME staff and 4.0% of White staff were on temporary cover). Numbers within the subset groups within BAME are lower, so some caution is advised when viewing rates. Asian or Asian British and Mixed Ethnic groups are more comparable with White staff, with 3.6% and 3.8% respectively on temporary cover, with Black or Black British having the lowest at 2.6% on temporary cover.

3.6% of disabled staff, compared to 3.9% of non-disabled staff received cover payments as at 31 March 2016.

Declaration rates for religion and sexual orientation are too low for comparisons to be meaningful.

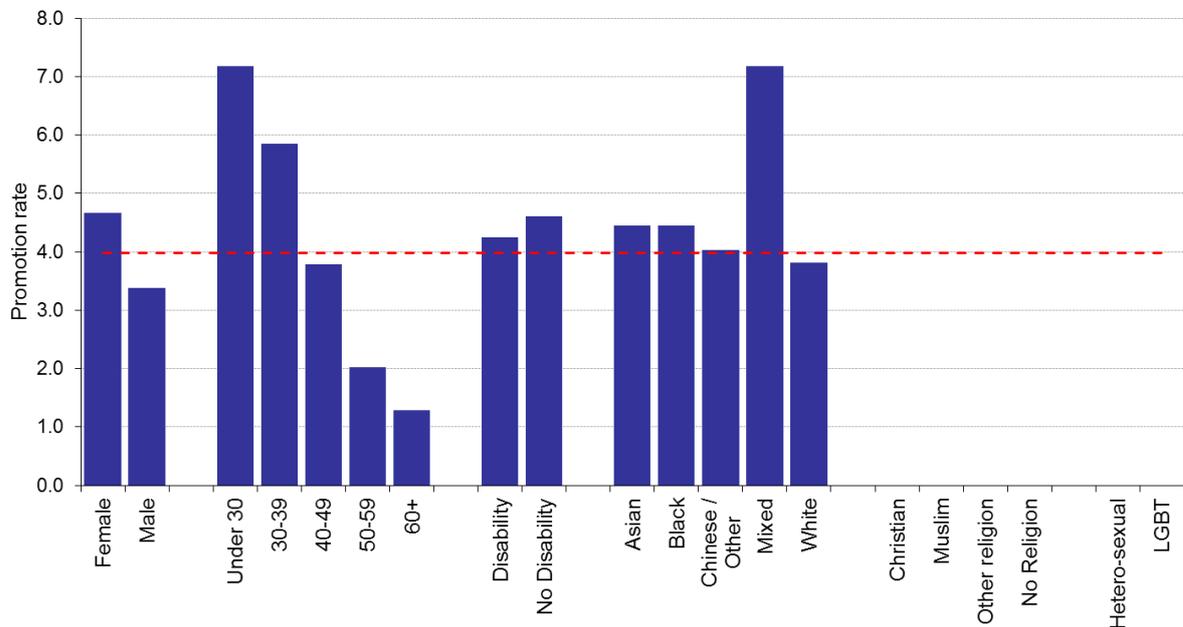
## Promotions

Promotions relate to staff moving to a more senior grade through an internal process. Operational Support Grade staff who convert to become prison officers are not defined as promotions and therefore this specific grade change does not appear in this report. Promotions are reported in terms of the grade of the staff prior to promotion rather than the grade they were promoted into. Similarly, rates are calculated in relation to the number of staff in the lower grade.

In 2015/16, 1,614 staff were promoted, a rate of 4.0%, which is slightly higher than the 2014/15 rate of 3.7%. The number of promotions has substantially increased over the past 4 years, from 152 in 2012/13 to 1,614 in 2015/16, with an increase of 189 in the last 12 months. The low rate in 2012/13 was a result of a new system of grades being introduced during the year, which temporarily reduced the number of promotions.

The rate of promotions in 2015/16 across all protected characteristics is illustrated in figure 4. Additional details on promotions can also be found in the supplementary tables 4a to 4c.

**Figure 4: Promotions per 100 staff, 2015/16**



The promotion rate for female staff was higher in 2015/16 at 4.7% (880) than for males at 3.4% (734). This is a consistent trend over the past 4 years. In relation to gender splits of promotion rates by grade, the rates for females were generally higher than males across most grades, the only exception being non-management NPS grades where the male rate was higher than the female rate (6.0% against 5.6%).

Promotion rates within NOMS HQ are considerably higher than in the prison establishments at 10.9% (339) in NOMS HQ; 4.9% (230) in London establishments; 3.2% (1,045) within establishments outside of London). The same trend for higher promotion rates for females is evident in London, outside London and in NOMS HQ.

The rate of promotion declines sharply as the age of staff increases. In 2015/16, staff under the age of 30 had the highest rate of promotion at 7.2% of staff in post compared to 2.0% for the 50-59 age group and 1.3% for staff over 60. This trend is consistent with previous years. The pattern of falling promotion rates with age is consistent across most grades. The notable exception being band 3-5 officers where the promotion rate amongst under 30 year olds was lower at 2.7% compared to 4.0% amongst 30-39 year olds.

In the 12 months ending 31 March 2016, BAME staff had a higher promotion rate at 4.9% than White staff at 3.8%. All BAME groups had a higher promotion rate than White staff, with those identifying as Mixed race with the highest rate at 7.2%. This is a change from 2014/15 where the rates showed no real difference between BAME and White staff. It has been driven by a reduction in the promotion rate for White staff of 0.2 percentage points and an increase of 1.0 percentage points for BAME staff – all BAME groups showed an increase from 2014/15 rates except for Mixed race staff.

In relation to grades, BAME staff had a higher promotion rate across in prison operational and NPS grades when compared to White staff. Promotion rates were lower for BAME staff than White staff for both the managerial and below managerial non-operational HQ grades. Staff working in establishments and LDU clusters, both in London and outside had a higher rate of BAME staff receiving promotions. The rate of promotion of BAME staff in NOMS HQ, on the other hand, was lower at 8.3% than the rate for White staff at 11.2%.

In 2015/16, the rate of promotion between staff who declared themselves disabled was slightly lower than that of non-disabled staff, 4.2% and 4.6%, respectively. The promotion rate of disabled staff within NOMS HQ was the highest at a rate of 11.8%, with this being marginally higher than the promotion rate of non-disabled staff at 11.2%. On the other hand, promotion rates in prison establishments and LDU clusters outside of London were slightly lower, with disabled staff having a lower promotion rate of 3.1% compared to 3.8% for non-disabled staff. Declaration rates for prison establishments and LDU clusters within Greater London are too low for meaningful interpretation.

The declaration rates among promotions for religion and sexual orientation are both below the threshold at which meaningful interpretation can be made.

## **Staff Appraisals**

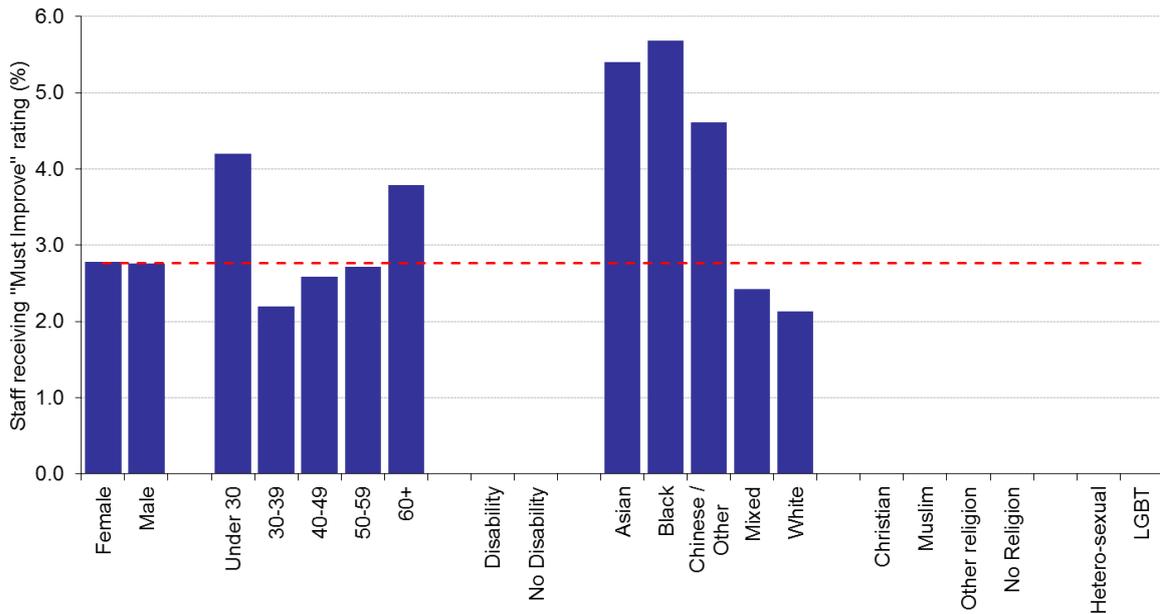
In NOMS the system of staff appraisals is called the 'Staff Performance and Development Record'. There is an annual cycle of appraisals and marks are awarded at the mid-year and then the end-year. It is the end-year markings that are analysed in this report. Further detail on appraisal ratings can be found in tables 5a, b and c of the accompanying data.

In 2014/15 and 2015/16, NOMS used the following appraisal rating categories: 'Must Improve', 'Good' and 'Outstanding'. In previous years there were four available markings of 'Unacceptable' 'Almost Achieved' 'Achieved' and 'Exceeded'.

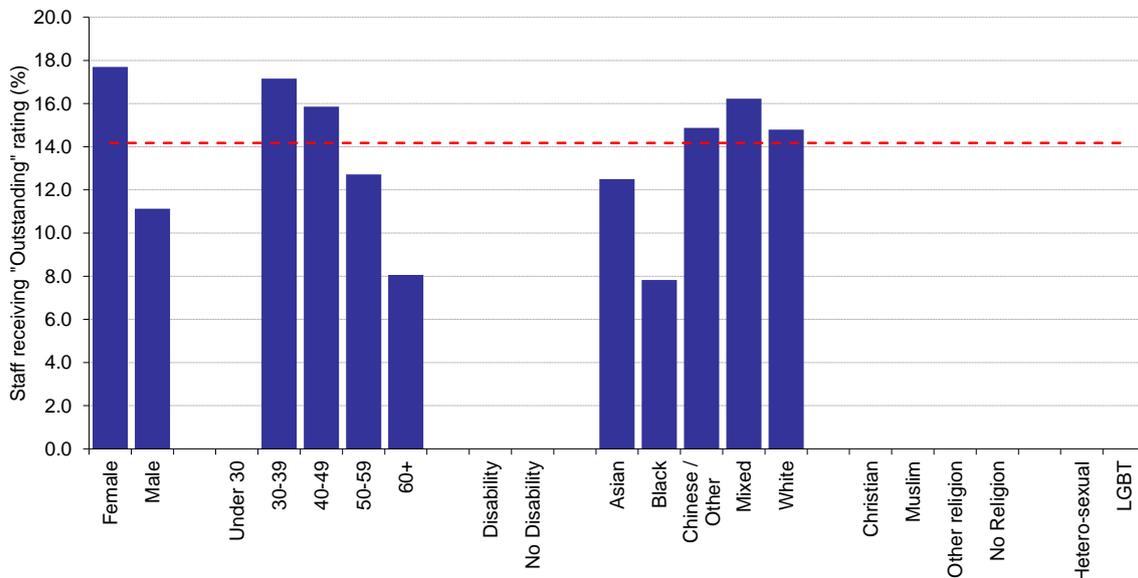
In 2015/16, 37,221 NOMS staff received an appraisal rating. Of these, 2.8% were awarded 'Must Improve', 83.1% were awarded 'Good' and 14.2% were awarded 'Outstanding'. The corresponding figures for 2014/15 for the 36,717 staff who received an appraisal rating were 2.4% 'Must Improve', 84.6% 'Good' and 13.1% 'Outstanding'.

Figures 5 and 6 show the percentage of staff receiving 'Must Improve' and 'Outstanding' appraisal ratings respectively in 2015/16, split by protected characteristics.

**Figure 5: Percentage of staff receiving 'Must Improve' appraisal rating**



**Figure 6: Percentage of staff receiving 'Outstanding' appraisal rating**



In 2015/16, the same proportion (2.8%) of males and females received 'Must Improve' appraisal ratings. Female staff were however awarded a higher proportion of 'Outstanding' markings, 17.7% compared to 11.1% of male staff. Within all grade groupings the proportion of female staff receiving 'Outstanding' ratings was higher than that of males, although the scale of this difference varied within each grade grouping. Conversely, the

proportions of females receiving 'Must Improve' ratings at all grades and within all staff groupings were lower than for males.

The proportion of staff receiving 'Must Improve' varied with age in 2015/16. A higher than average proportion of staff aged under 30 received 'Must Improve' at 4.2%. This was a large increase on the 2.4% of 'Must Improve' markings for under 30s in the previous year. The proportion of 'Must Improve' markings was lowest for staff aged 30-39 at 2.2%, proportions then increased with age to 3.8% of staff aged 60 and over receiving 'Must Improve'.

The proportion of staff receiving 'Outstanding' ratings in 2015/16 also varied with age; a lower proportion of staff aged under 30 received 'Outstanding' ratings at 12.2%. This proportion then increased to 17.2% for staff aged 30-39 before decreasing with age to 8.1% of staff aged 60 and over receiving 'Outstanding' ratings.

In 2015/16, a higher proportion of BAME staff received 'Must Improve' ratings at 4.9% compared to White staff at 2.1%. The proportions of 'Must Improves' were highest for Black staff (5.7%) and Asian staff (5.4%).

BAME staff also had worse outcomes than their White counterparts in terms of the proportion of 'Outstanding' markings awarded. In 2015/16, 11.4% of BAME staff received an 'Outstanding' marking compared to 14.8% of White staff. The gap has closed slightly since the previous year when the proportion of BAME 'Outstanding' markings was 3.9 percentage points lower than White staff rather than 3.3 points in 2015/16. Black staff received notably lower proportions of 'Outstanding' markings than any other group with 7.8% while Mixed race groups received the highest at 16.2%.

There are substantial differences in the overall pattern of appraisal markings awarded according to grade level. In general more senior staff receive fewer 'Must Improve' and more 'Outstanding' markings. While this confounding effect would have the effect of exaggerating the disparity in BAME versus White markings due to the grade distribution of the groups, the pattern of worse outcomes for BAME staff persists across all grades with the exception of Operational Managers where 37.1% of BAME staff received an 'Outstanding' marking compared to 27.2% of White staff. The disparity in markings by race can therefore not be explained by the different distribution across grades.

In 2015/16, similar levels of staff in all three regional groupings, London, outside London and NOMS HQ, received 'Must improve' ratings (ranging from 2.6% to 3.5%). Greater variation was seen in the 'Good' and 'Outstanding' ratings received by the regional groupings. A higher proportion (24.7%) of NOMS HQ staff received 'Outstanding' ratings than either Greater London establishment staff (11.8%) or Other establishment staff (13.5%). In 2015/16, BAME staff in all regions received a higher proportion of 'Must Improve' markings and a lower proportion of 'Outstanding' markings than White staff.

The declaration rates for disability, religion and sexual orientation are too low for any meaningful analysis to be carried out.

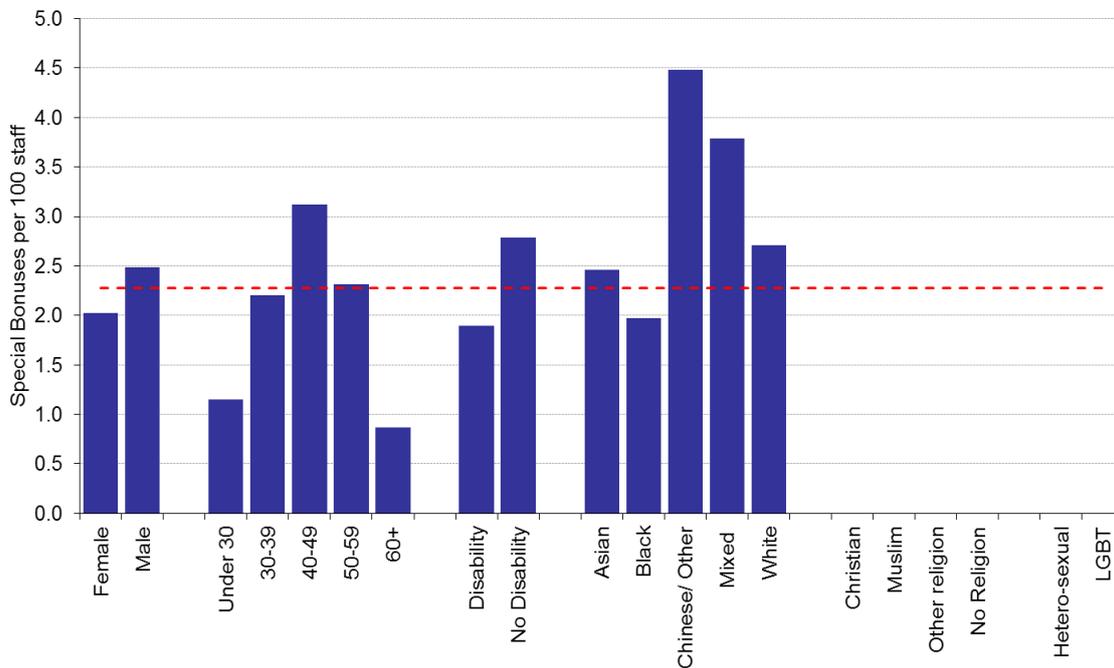
## Special Bonuses

Special bonuses allow local management the opportunity to recognise and reward any member of staff for exceptional performance in a particularly demanding task or situation through a one-off non-consolidated lump sum payment of up to £2,000 (or £20,000 with CEO approval). The rate of special bonuses awarded to staff in 2015/16 at 2.3 per 100 staff was lower than the rate awarded in 2014/15 which was 4.5 per 100 staff. The average value of the awards however, increased by 44% from £531 in 2014/15 to £764 in 2015/16.

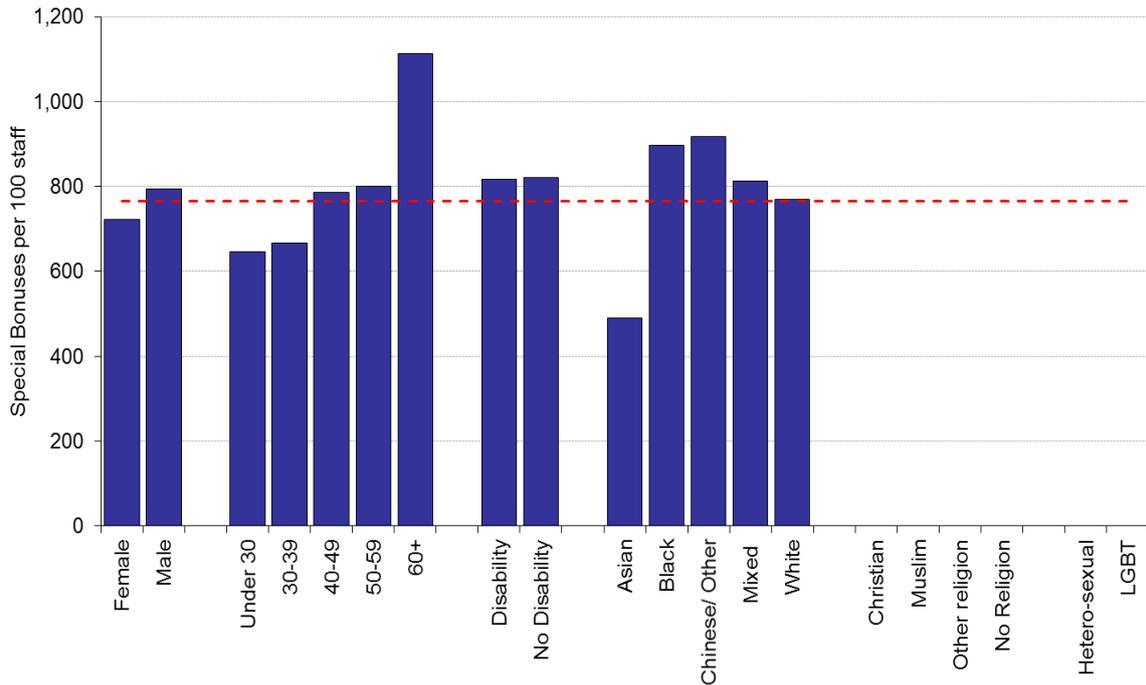
The rate of bonuses awarded per 100 staff were lower for all grades in 2015/16 than in 2014/15. NPS grades had fewer special bonuses awarded than the rest of NOMS. The rate of bonuses awarded was higher for Operational Managers, 21.7 per 100 staff, than the more junior operational positions of band 3-5 officers, at 2.3 per 100 staff, and OSGs at 0.6 per 100 staff. There was a similar but less pronounced difference for non-operational grades. The rate of bonuses awarded also varied by location; NOMS HQ employees had the highest rate of bonuses at 5.4 per 100 staff compared to 3.4 per 100 staff in London sites and 1.8 per 100 in sites outside London. The average value of bonuses was around £765 for each location type.

The rate of bonuses awarded and the value per award across protected characteristics are illustrated in figures 7 and 8 and can be viewed in Supplementary table 6a.

**Figure 7: Special Bonuses Awarded per 100 Staff, 2015/16**



**Figure 8: Average Value of Special Bonuses Awarded, 2015/16**



The rate of special bonuses awarded in 2015/16 was higher for males at 2.5 per 100 staff than for females at 2.0 per 100 staff. The average value of the bonuses was also higher for males who received an average of £795 than for females who received £721. The higher rates of bonuses was only evident in the operational grades. In non-operational grades, both senior and junior the pattern was reversed, with female staff receiving bonuses at a higher rate than male staff. Those bonuses awarded to male non-operational staff were however of higher value on average.

In 2015/16, staff in the 40-49 age-group had the highest rate of bonuses awarded at 3.1 per 100 staff, followed by staff in the 50-59 at 2.3 per 100 staff and 30-39 age-groups at 2.2 per 100 staff. Staff under 30 and over 60 had the lowest rates of bonuses (1.1 and 0.9 per 100 staff respectively). The average value of awards increased with age-grouping; over 60s received the largest average value of award at £1,112 while under 30s received the lowest at £647.

In 2015/16, the rate and average value of bonuses awarded was very similar for declared BAME staff, at 2.7 per 100 staff, £762, as for White staff, 2.7 per 100 staff, £769. The rate of bonuses for both BAME and White staff has decreased since 2014/15, when it was 4.7 and 5.4 per 100 staff respectively. As with the general trend, the value of bonuses has risen for both groups over the same time period, by 66% for declared BAME staff and 41% for White staff. There are difference between the rates and average value of bonuses awarded to different groups of BAME staff, although numbers tend to be too low to draw meaningful conclusions. Black staff were awarded the fewest bonuses at a rate of 2.0 per 100 staff, but the second highest average value at £898. The low rate of bonuses for Black staff mirrors the differences in staff appraisal markings compared to other ethnic groups.

The differences in rates of bonuses awarded varied by location in 2015/16. For NOMS HQ employees, the rate and average value of bonuses was higher for White staff, at 6.4 per 100 staff and £810, than for BAME staff at 4.9 per 100 staff and £372. Whereas in all

establishments the rate of bonuses was higher for White staff than those who declare as BAME, yet the average value per award was larger for BAME staff. This difference between rates was larger in greater London, at 4.9 per 100 White staff to 2.6 for BAME staff, than all other establishments, at 2.2 to 2.1 per 1000 staff.

The rate of bonuses awarded in 2015/16 to those who declared as disabled was 1.9 per 100 people, lower than those awarded to non-disabled staff, 2.8 per 100 people. The average value of these awards was, however, similar for the both groups at £817 and £820 respectively.

The declaration rates for special bonuses for the characteristics of religion and sexual orientation are both below the threshold at which meaningful interpretation can be made.

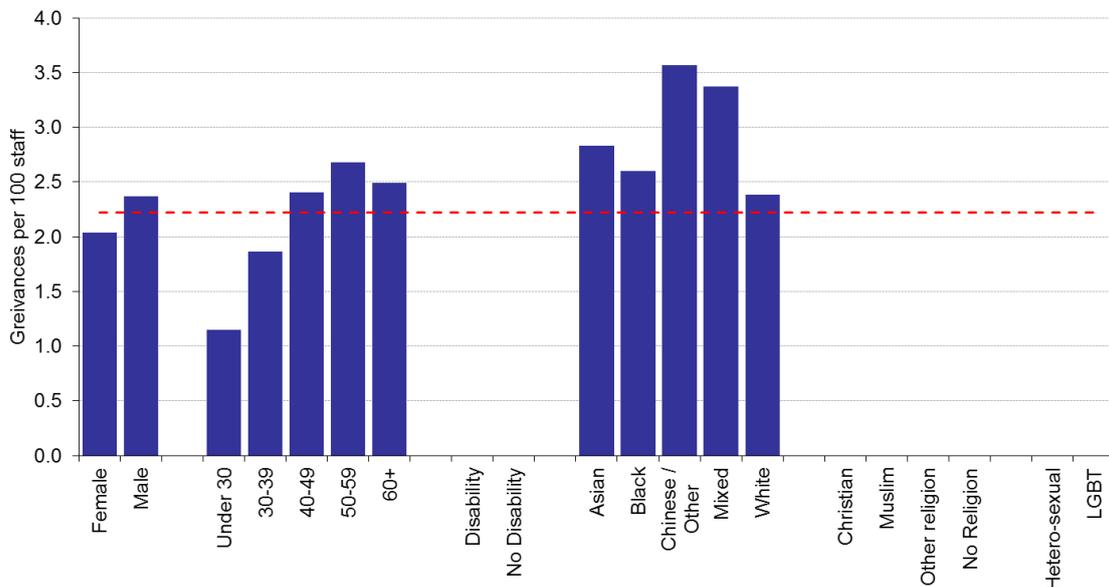
## Grievances

A grievance is defined as any concern, problem or complaint raised by an individual member of staff relating to his or her employment. Only grievances that have gone through the formal procedure are analysed here. Where the grievance is resolved locally or through mediation, these are not recorded centrally. Further detail on grievances can be found in tables 7a to 7c.

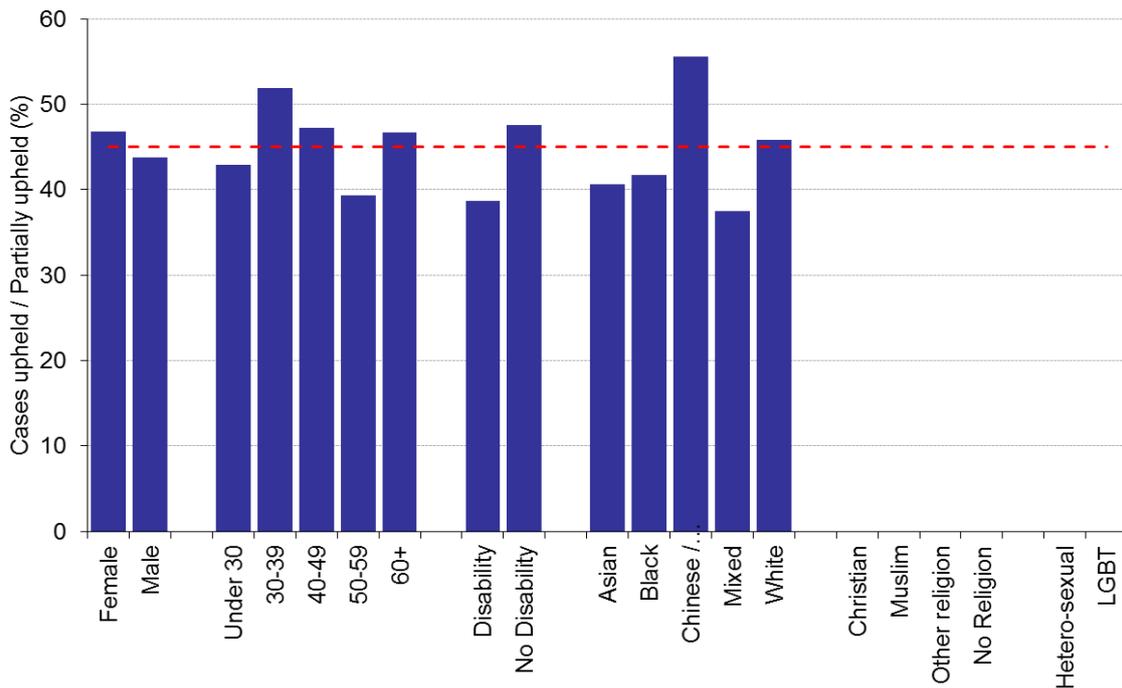
In 2015/16, there were 1,016 staff who raised grievances, resulting in 1,241 cases. Of the 1,241 cases, 45% (559 cases) were upheld or partially upheld. The overall figures in 2015/16 for the number of grievances raised was approximately 2.2 per 100 staff. This rate has remained largely stable since 2012/13. The percentage of cases upheld or partially upheld in 2015/16 at 45% has also remained fairly stable since 2012/13. Band 3-5 prison officers are most likely to raise a grievance with a rate of 2.9 per 100 staff.

Figures 9 and 10 show the rate per 100 staff raising grievances and the percent of cases upheld or partially upheld, split by protected characteristics.

**Figure 9: Number of staff per 100 staff raising grievances 2015/16**



**Figure 10: Percent of cases upheld or partially upheld 2015/16**



Overall, female staff raised fewer grievances in 2015/16, at a rate of 2.0 per 100 staff, than males, 2.4 per 100 staff. This overall finding may be distorted by the higher rate of grievances amongst band 3-5 prison officers, who are predominantly male. Within that group, which is the largest group of staff, female staff were more likely to raise a grievance than male staff, 3.1 per 100 against 2.9 per 100. The differential is largest for the operational managers group where 2.3 per 100 female and 1.1 per hundred male staff raised grievances.

The percentage of cases upheld or partially upheld in 2015/16 was higher for females (46.8%) than for males (43.8%). For both females and males, the percentage of cases upheld or partially upheld in 2015/16 was higher than that in 2014/15, although a larger increase was seen for cases raised by females (an increase of 2.3ppts) compared to males (increase of 0.4ppts).

In 2015/16, there was a tendency for the rate of grievances to increase with age from 1.1 per 100 staff for staff aged under 30, to 2.7 per 100 staff for staff aged 50-59. Fewer staff aged 60 and over raised a grievance (2.5 per 100 staff).

The proportion of cases upheld or partially upheld varied by age with lower percentages of cases upheld for staff aged under 30 and 50-59, 42.9% and 39.3% respectively, than staff aged 30-39, 40-49 and 60 and over, 51.9%, 47.3% and 46.7% respectively. From 2014/15 to 2015/16, there was a substantial increase in the percentage of cases upheld or partially upheld for staff aged 60 and over of 13.3 percentage points.

The overall rate of grievances raised per 100 staff were similar for BAME and White staff, at 2.9 per 100 and 2.4 per 100 staff respectively. As for female staff, this overall finding may be confounded by grade differences. In each individual grade group BAME staff were more likely to raise a grievance.

In 2015/16, the percent of cases upheld or partially upheld was higher for White staff at 45.8% than for BAME staff at 41.6%). For both groups, a higher percent of cases were upheld or partially upheld in 2015/16 than in 2014/15, although the increase was higher for BAME staff at 6.8ppts when compared to an increase of 1.3ppts for White staff.

Declaration rates for disability, religion and sexual orientation are too low for any meaningful analysis to be carried out.

## **Investigations and Conduct and Discipline Cases**

Investigations into staff conduct are designed to establish the truth of the case and to determine whether conduct and discipline action is recommended. A conduct and discipline case imposes a penalty on a member of staff for wrong-doing. In cases of summary dismissal it is not always possible to have had a full internal investigation.

Both investigations and conduct cases may involve multiple charges and may have multiple outcomes for the different parts of the case. More than one member of staff can also be charged and penalised in a single case. For the purpose of this report a case is defined as a charge or set of charges being brought against an individual. Where more than one individual is charged together they are counted as multiple cases in this report.

Further detail on investigations and conduct and discipline cases can be found in tables 8a to 8c and 9a to 9c.

In 2015/16, 1,417 staff faced at least one investigation at a rate of 3.1 per 100 staff. There was no change in the rate of staff investigated from 2014/15. Of the 1,486 cases, 899 (60.5%) had further action recommended. Among grades, Band 3-5 officers had the highest rate of investigations in 2015/16 at 4.4 per 100 staff, compared to 2.1 for all other staff combined.

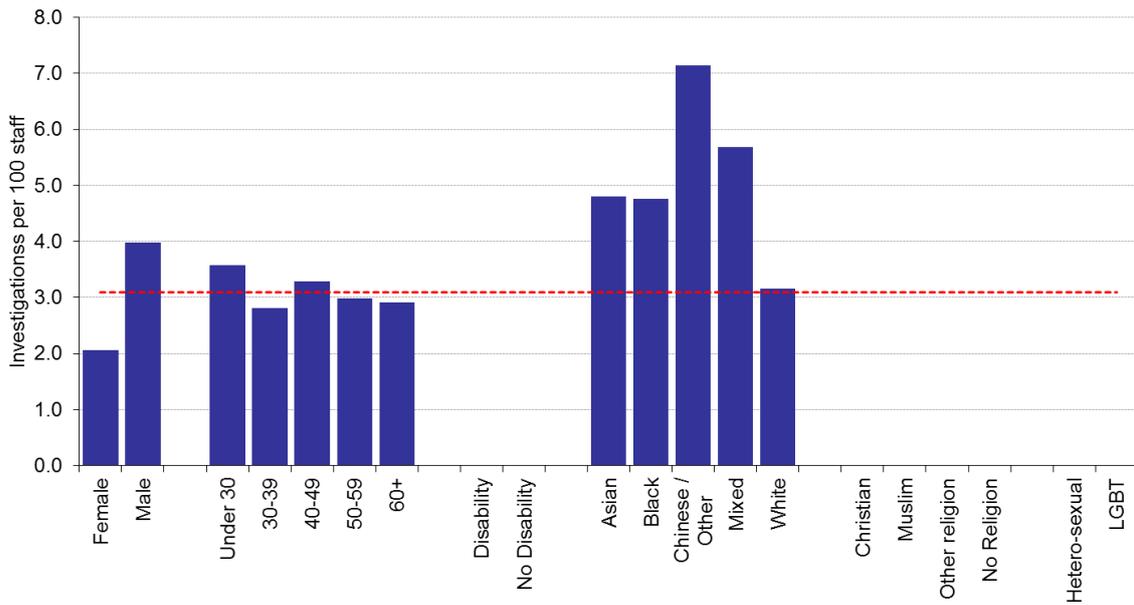
There were 616 staff given a disciplinary penalty in 2015/16, at a rate of 1.3 per 100 staff. There were a total of 638 conduct cases and of those 20.8% resulted in the penalty of dismissal<sup>2</sup>. The rate of conduct cases (1.9 per 100 staff) was highest amongst band 3-5 prison officers.

Figures 11 and 12 show the rates per 100 staff who were investigated in 2015/16 and the proportion of cases with further action recommended split by protected characteristics.

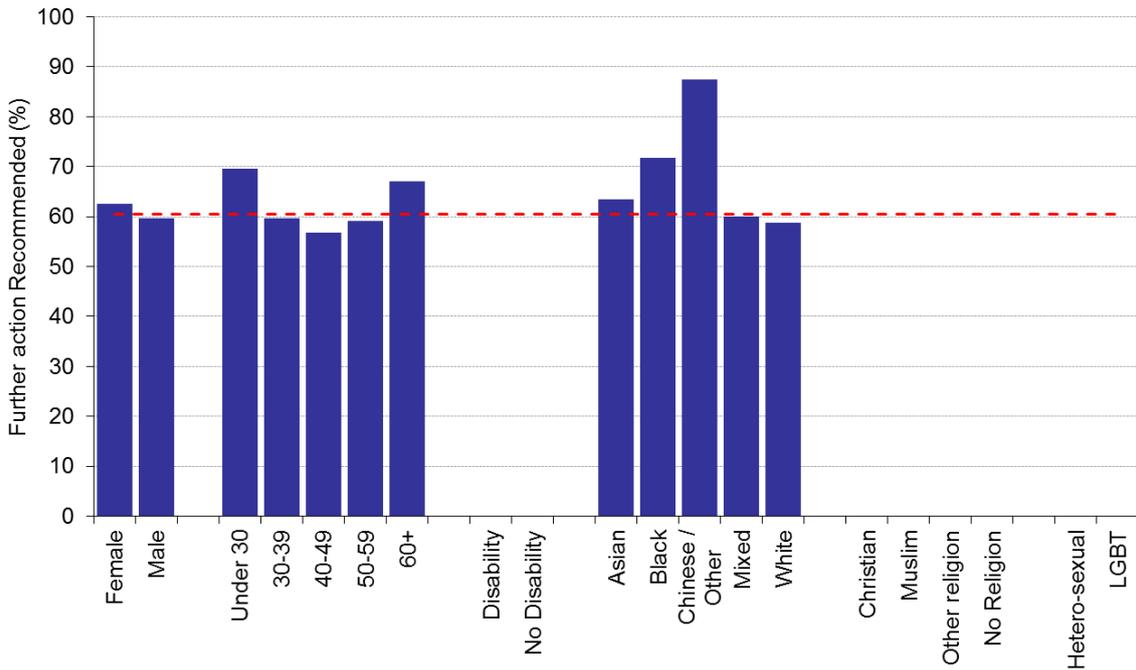
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<sup>2</sup> Details of appeals are not included in the analysis so a number of the penalties may have been overturned on appeal

**Figure 11: Staff Subject to at least one Investigation per 100 staff in post 2015/16**



**Figure 12: Proportion of Investigations where further action was recommended, 2015/16**



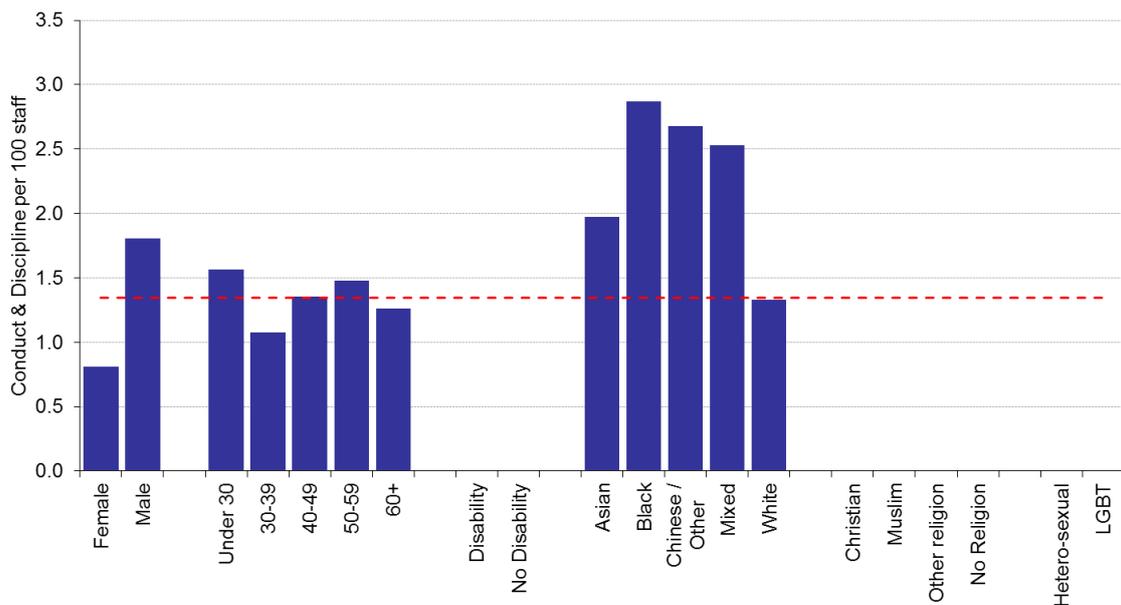
Overall, female staff were investigated at around half the rate of male staff in 2015/16, 2.1 per 100 females compared to 4.0 per 100 males. These levels were similar to those for 2014/15. The rate of investigations for male staff is higher across all grades other than operational managers. The percentage of cases with further action recommended, however, was similar for both genders (62.6% for females and 59.6% for males); this represented a much larger increase from 2014/15 for females (an increase of 7.3ppts) than for males (an increase of 2.2ppts).

In 2015/16, the number of staff investigated was similar across age groups with numbers of investigated staff ranging from 2.8 per 100 staff for those aged 30-39, to 3.6 per 100 staff under 30. The percentage of cases with further action recommended was higher for the youngest and oldest staff, 69.6% for staff under 30 and 67.0% for staff aged 60 and over, than for staff aged 30-59 (ranging within groups from 56.7% to 59.7%).

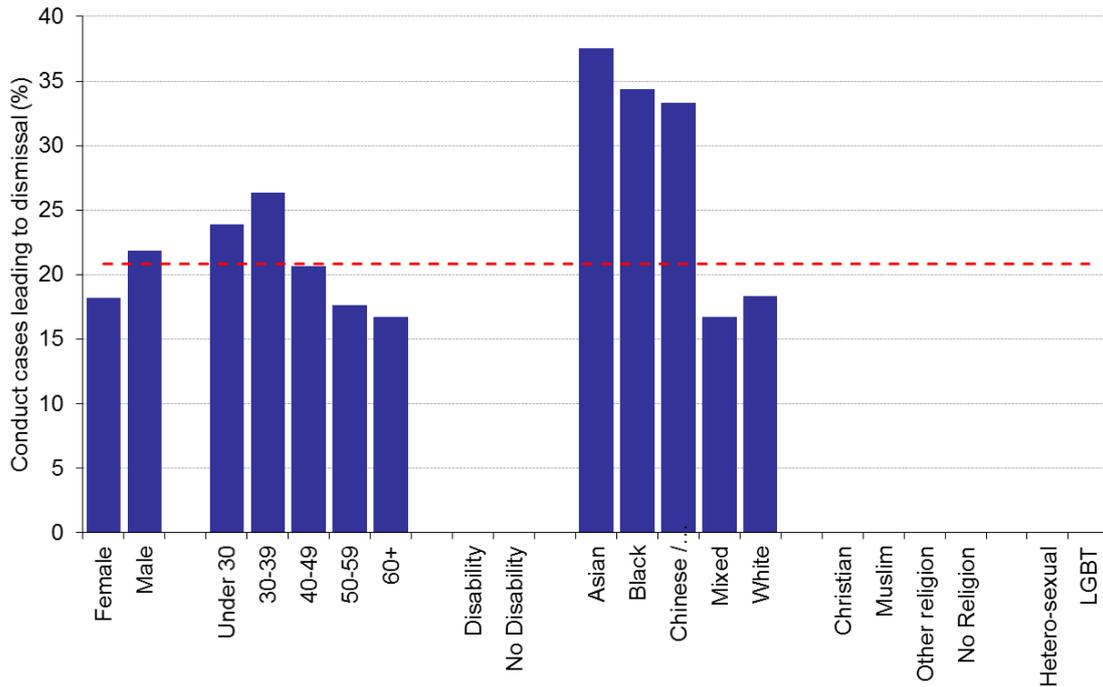
The proportion of BAME staff investigated in 2015/16 was substantially higher than the proportion of White staff investigated, 5.1 per 100 staff compared to 3.2. The higher rates are consistent across grades and have persisted at similar levels since 2012/13. The percentage of cases with further action recommended was also higher for BAME staff (68.6%) than for White staff (58.8%); this represented a larger increase from 2014/15 for BAME staff of 7.3ppts than for White staff, with an increase of 1.9ppts.

Figures 13 and 14 show the rate per 100 staff who were subject to conduct and discipline action and the proportions of conduct cases leading to dismissal in 2015/16, split by protected characteristics. The patterns mirror those found for investigations due to the close connections of the two processes.

**Figure 13: Staff per 100 staff subject to Conduct and Discipline Action 2015/16**



**Figure 14: Percentage of conduct cases leading to dismissal 2015/16**



As for investigations, the rate of conduct cases involving male staff was around double the rate for female staff, 1.8 per 100 male staff compared to 0.8 per 100 female staff. These rates did not represent a change from 2014/15. The proportion of cases resulting in dismissal was also higher for male staff than female, 21.9% compared to 18.2%.

The number of staff subject to conduct and discipline action in 2015/16 did not vary greatly with age, ranging from 1.1 per 100 staff aged 30-39 to 1.6 per 100 staff aged under 30. In 2015/16, the percentage of conduct cases leading to dismissal decreased with age from 23.9% for staff aged under 30 to 16.7% for staff aged over 60 (with the exception of a slightly higher percentage for staff aged 30-39 of 26.3%).

In 2015/16, a much larger proportion of BAME staff, 2.5 per 100 staff, were subject to conduct and discipline action than White staff at 1.3 per 100 staff. The higher rate for BAME staff was repeated across all grades, where data is meaningful to analyse. The percentages of dismissals resulting from conduct cases were also higher for BAME staff at 31.8% compared to White staff at 18.3%.

Declaration rates for disability, religion and sexual orientation are too low for any meaningful analysis to be carried out on investigations or conduct and discipline.

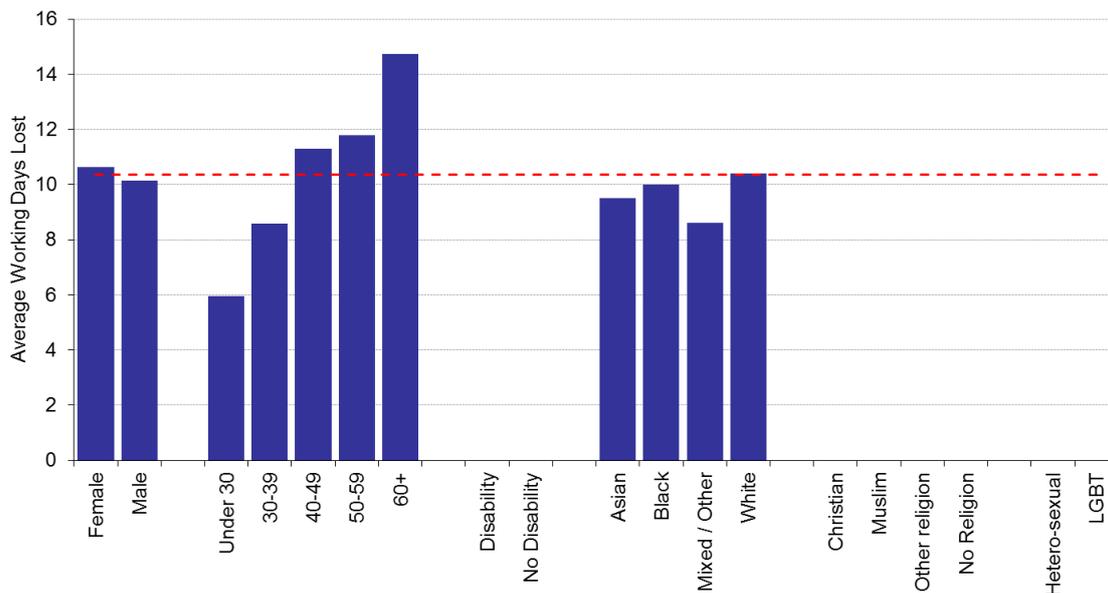
**Sickness Absence**

Sickness absence is represented in this section by the average working days lost (AWDL) due to sickness per employee per year. In 2015/16, the AWDL to sickness absence was 10.4, a 7.7% decrease from 11.2 in 2014/15. This is also the lowest rate in the time series beginning in 2012/13.

AWDL was lower for all grades with the exception of operational managers, and all locations in 2015/16 compared to 2014/15. In 2015/16, across operational, non-operational and NPS roles the AWDL was lower for senior staff compared to more junior positions. Operational and NPS grades had highest level of AWDL, 12.3 for NPS staff below management grade, 11.6 for Band 3-5 prison officers and 10.3 for prison operational support grades. As a consequence, sickness is lower in NOMS HQ compared to prison and probation establishments.

Figure 15 illustrates the AWDL in 2015/16 across all protected characteristics. Further detail on appraisal ratings can be found in tables 10a to 10c of the accompanying data.

**Figure 15: Average working days lost due to sickness absence, 2015/16**



In 2015/16 the average working days lost to sickness absence was higher for female staff at 10.6 days, than for male staff at 10.1 days. The higher rate amongst female staff is despite the confounding factor of higher underlying rates for operational staff suggesting that female rates would be lower due to their grade distribution being less operational. The average working days lost to sickness absence is higher for females than for males across all staff positions and locations. The male to female gap has reduced since 2014/15 due to a 8.4% reduction in sickness for females and 7.4% reduction for males.

In 2015/16, the average working days lost to sickness absence increased with age. Under 30s had the lowest AWDL at 6.0 days, rising through each age group to the over 60's who had the highest AWDL at 14.7. The over 60's are also the only age-group for whom sickness levels increased from 2014/15, when it was 14.4 days.

In 2015/16 the AWDL was higher for White staff at 10.5 days than for BAME staff at 9.8 days. The average number of days lost fell from 2014/15 figures for both groups by 11.2% and 16.0% respectively, this was repeated in all staff roles and locations. All BAME groups had a lower AWDL than White staff, the lowest rate was the Chinese and Other Ethnic group of staff at 8.6 days.

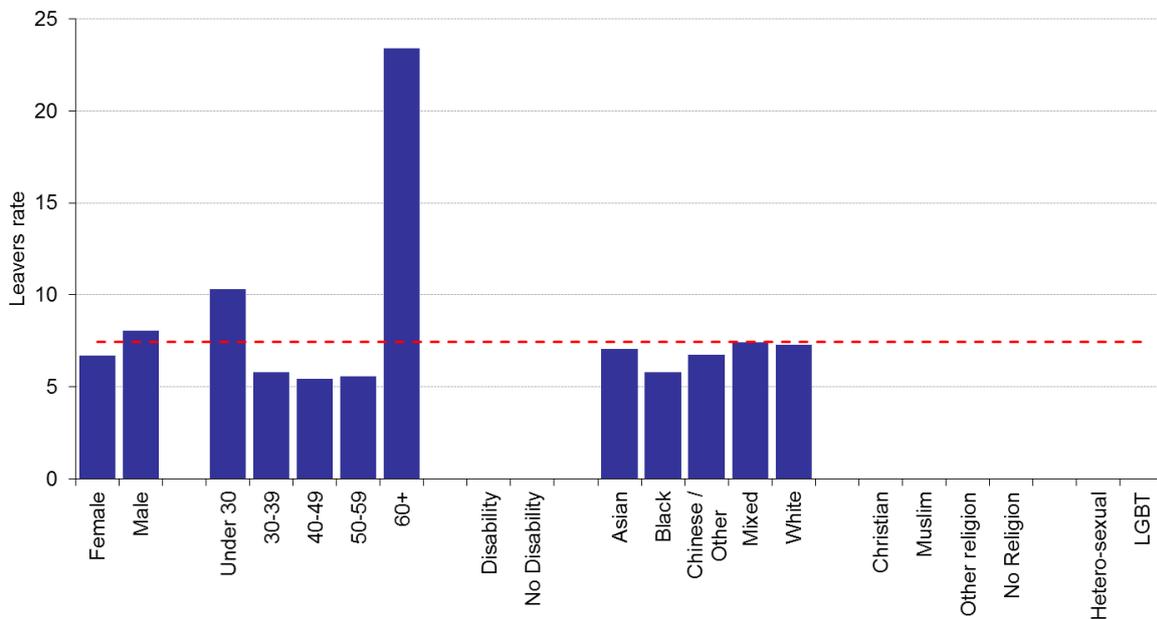
Declaration rates for disability, religion and sexual orientation are too low for any meaningful analysis to be carried out on investigations or conduct and discipline.

## Leavers

In the 12 months ending 31 March 2016, 3,387 permanent staff (headcount) left NOMS, a leaving rate of 7.4%, largely consistent with the previous year's rate of 7.6%. Both 2015/16 and 2014/15 had somewhat higher leaving rates than seen in the previous two financial years. The rates presented include retirement, but exclude voluntary exits under the Voluntary Early Departure Scheme (VEDS), under which large numbers left the department in 2012/13 and 2013/14, but which would distort leaving rates if included.

Leaving rates for each protected characteristic are shown in figure 16. Further detail on leavers can be found in tables 11a to 11d of the accompanying data.

**Figure 16: Permanent Staff Leaving Rates (Excluding VEDS and redundancy) 2015/16**



The leaving rate for female staff was lower in the 12 months ending 31 March 2016 at 6.7% than the rate for male staff at 8.1%. This is a change from the previous year, with a 0.6 percentage point reduction to the leaving rate of females and a 0.3 percentage point increase to the leaving rate for males since the previous year. Leaving rates had been more comparable across genders in the previous two financial years, and in 2012/13 the rate for males had been lower than for females. This change coincides with a change in the female representation in NOMS due to the creation of the NPS. As such, comparison of gender splits of leaving rates across the time series should be considered with some caution.

Considering gender splits of leaving rates by grade group, in the 12 months ending 31 March 2016, band 3-5 prison officers had similar leaving rates by gender at 7.8% for female officers and 7.5% for male officers. Leaving rates of OSGs were notably higher than for officers, but with a clear gender difference with the rate for male OSGs at 11.5% compared to 8.7% for females. Leaving rates for both operational and non-operational

managers were lower in general, with lower rates for females than males. Junior non-operational NOMS grades had high leaving rates with 10.9% for males and 7.4% for females. NPS managers had slightly lower leaving rates than NPS staff below manager grades, but the leaving rates for females were lower than for males in both cases - 4.3% compared to 5.7% for NPS manager females and males respectively, and 5.7% and 6.6% for NPS below manager females and males respectively.

Leaving rates within NOMS HQ are far lower than in the prison establishments, although the same pattern of lower leaving rates for females than males are evident, at 3.7% for females in NOMS HQ compared to 5.9% for males in NOMS HQ.

As leaving rates include retirement, considering rates by age group is limited in meaning, as it would be expected that those aged 60 and over would have the highest leaving rates given staff will not continue working indefinitely. As expected, the leaving rate for those aged 60 and over was by far the highest at 23.4% in the 12 months to 31 March 2016, consistent with previous years. Leaving rates were similar for those aged 30 to 59, ranging from 5.4% to 5.8%, while those aged under 30 had a leaving rate of 10.3%.

BAME staff had a slightly lower leaving rate at 6.6% in the 12 months ending 31 March 2016 than White staff at 7.3%. Although there are some minor differences in the leaving rates of the subset groups within the BAME category, given the low numbers involved, these minor variations are not of note. Although there was no real change in the leaving rate among White staff since the previous year, for BAME staff there was a reduction of 0.9 percentage points since the previous year. By grade in the 12 months ending 31 March 2016, there were no notable differences in the leaving rate by ethnicity other than among operational support grades, where the leaving rate was considerably higher for White staff at 10.3% than for BAME staff at 7.2%. Ethnicity declaration among NPS leavers is too low for leaving rates by ethnic group within the NPS to be meaningful.

In NOMS HQ, leaving rates by ethnicity showed a different trend, with higher leaving rates among BAME NOMS HQ staff of 5.8% compared to 3.7% for White NOMS HQ staff in the 12 months ending 31 March 2016. This is a notable change on the previous year, for although BAME leaving rates have remained largely consistent, the leaving rate among White NOMS HQ staff has almost halved.

Declaration rates among leavers for disability, religion and sexual orientation are below the level at which meaningful consideration can be made for these protected characteristics.

## Users and uses of these Statistics

These statistics have many intended uses by a diverse range of users, and are designed to meet as many of the needs of these users as possible in the most useful and meaningful format.

<b>Intended use of statistics:</b>	<b>Summary of main statistical needs:</b>
Ministry of Justice ministers	Use the statistics to monitor changes to NOMS staff numbers, and to the structure of the organisation over time.
MPs, House of Lords and Justice Select Committee	These statistics are used to answer parliamentary questions. This publication aims to address the large majority of parliamentary questions asked.
Trade unions	Used as a source of statistics to inform the work of the unions in relation to the staffing within NOMS
Policy teams	These statistics are used to inform policy development, to monitor impact of changes over time and to model future changes and their impact on the system. This publication addresses the primary questions internal users ask on a regular basis, and forms the basis for workforce monitoring and decision making.
Academia, students and businesses	Used as a source of statistics for research purposes and to support lectures, presentations and conferences
Journalists	As a compendium of quality assured data on NOMS staff, to enable an accurate and coherent story to be told.
Voluntary sector	Data are used to monitor how trends within the staff population relate to trends observed in offenders, to reuse the data in their own briefing and research papers and to inform policy work and responses to consultations.
General public	Data are used to respond to ad-hoc requests and requests made under the Freedom of Information Act, to provide greater transparency of staffing and equalities related issues in NOMS.

## Data Sources and Data Quality

The statistics in this bulletin relate to civil servants employed by the National Offender Management Service (NOMS). The data presented in this publication are drawn from the Oracle Human Resources Management System (HRMS) used by NOMS. This is a live dynamic system, not designed for use in presenting consistent statistical figures. Although Oracle HRMS can generate what appear to be historical figures, subsequent updates to details of records on the system will only show the latest position, and not the position as it stood at the time in question.

Information relating to staff in post, joiners and leavers is closely scrutinised, and the data presented in this bulletin are considered to be of high quality. Extensive validation of data is undertaken, and care is taken when processing and analysing the data. While the figures shown have been validated and independently checked, the information collected is subject to the inaccuracies inherent in any large scale recording system.

For statistical and archive purposes, monthly extracts are taken from the Oracle HRMS system, which allow consistent figures to be obtained for historical time points. It is not uncommon for a small number of updates to the Oracle system to be implemented slightly in arrears. To account for this the data extracts used for statistical purposes are taken at a pre-determined point in time shortly after the situation date. This process accommodates the majority of such late updates whilst maintaining the timeliness of the data. While this is a standard, and indeed the best approach to obtain accurate and timely data from HR systems, there is the inevitable potential for a small number of late updates to be missed, occurring after the monthly extracts are captured.

Certain aspects of the data held on Oracle HRMS relating to the National Probation Service (NPS) is not yet of the quality necessary to be included in a publication of official statistics. For example, the recording of NPS grades and jobs is not accurate as yet. For this reason only a limited breakdown of NPS grades is provided. The only role specifically identified in the bulletin is probation officer.

### *Explanatory notes - Symbols and conventions*

The following symbols are used within the tables in this bulletin:

..	not available
~	values of two or fewer
-	not applicable / not meaningful
(p)	Provisional data
(r)	Revised data
(e)	Estimated data

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General information about the official statistics system of the UK is available from  
[statisticsauthority.gov.uk/about-the-authority/uk-statistical-system](http://statisticsauthority.gov.uk/about-the-authority/uk-statistical-system)

Ministry of Justice publishes data relating to offender management in England and Wales.  
Equivalent statistics for Scotland and Northern Ireland can be found at:

[www.gov.scot/Topics/Statistics/Browse/Crime-Justice](http://www.gov.scot/Topics/Statistics/Browse/Crime-Justice)  
[www.dojni.gov.uk/index/statistics-research/stats-research-publications.htm](http://www.dojni.gov.uk/index/statistics-research/stats-research-publications.htm)

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