



Ministry  
of Justice

**Her Majesty's Prison and Probation  
Service  
Annual Staff Equalities Report**

**2017/18**

Ministry of Justice  
Statistics Bulletin

Published 29th November 2018

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## Introduction

On 1 April 2017, Her Majesty's Prison and Probation Service (HMPPS) replaced the National Offender Management Service (NOMS), an agency of the Ministry of Justice. Given the data used for this publication covers the reporting period up to 31 March 2018, the statistics in this annual report will be referred to as those of the HMPPS workforce. This report considers profiles and processes of the HMPPS workforce from an equalities perspective.

HMPPS delivers services directly through public sector prisons, the youth custody service and the National Probation Service. The statistics in this publication relate to staff working HMPPS with a contract of employment with HMPPS, who are all civil servants. Staffing in private sector establishments, community rehabilitation companies and other contractors are excluded.

The equality objectives of HMPPS are stated, along with progress and achievements, in the HMPPS Annual Report and Accounts 2017/18:

[www.gov.uk/government/publications/hmppps-annual-report-and-accounts-2017-18](http://www.gov.uk/government/publications/hmppps-annual-report-and-accounts-2017-18)

**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. 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 HMPPS (and NOMS prior to 1 April 2017) are also published through the HMPPS 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
Joiners	Age
Temporary Cover	Race
Promotions	Disability
Staff Appraisals	Sexual Orientation
Special Bonuses	Religion / Belief
Grievances	
Investigations	
Conduct and Discipline Cases	
Sickness Absence	
Leavers	

An accompanying report relating to Offender Equalities statistics for 2017/18 will also be published on 29 November 2018, and available at:  
[www.gov.uk/government/statistics/announcements/hm-prison-and-probation-service-offender-equalities-report-2017-to-2018](http://www.gov.uk/government/statistics/announcements/hm-prison-and-probation-service-offender-equalities-report-2017-to-2018)

### **Release schedule**

The next edition of the HMPPS Annual Staff Equalities Report 2018/19, is scheduled to be published on 28 November 2019.

## Summary

1. As at 31 March 2018, there were **49,138** staff (headcount) in HMPPS, an increase of **3,117 (6.8%)** on the previous year.
2. Females accounted for **47.2% (23,208)** of staff in HMPPS as at 31 March 2018, a decrease of **0.1** percentage points on the previous year.
  - **36.9% (69)** of senior leaders in public prisons and HMPPS HQ (Senior Civil Servants and operational managers including governors) were female.
  - The NPS has higher female representation than the other parts of HMPPS, comprising **66.0% (101)** in senior NPS roles (NPS bands A-D), **68.3% (697)** in NPS bands 5-6, and **76.8% (7,000)** in NPS grades below management level (which includes probation officers at band 4).
3. The age band with the largest proportion of staff was those aged 50-59, comprising **28.5% (14,002)** of all staff. Meanwhile, the proportion of those aged under 30 increased from 14.0% as at 31 March 2017 to **17.8% (8,738)** as at 31 March 2018.
4. The declaration rates for race, disability, religion and sexual orientation are particularly low for new joiners to HMPPS in 2017/18. This means that for this year, meaningful analysis of their protected characteristics is not possible.
5. As at 31 March 2018, 8.2% (2,692) of staff declared themselves as Black, Asian or Minority Ethnic (BAME). Caution should be used in interpreting this figure as there are different declaration rates across the different parts of HMPPS. For NPS grades below management for example, the declaration rate was only **53.5%** and so proportions were therefore not calculated.
6. **51.1%** of staff declared their disability status, **30.8%** of staff declared their religion, and **30.7%** declared their sexual orientation, which are below the threshold at which meaningful representation rates can be considered.
7. The promotion rate for female staff was higher in 2017/18 at **6.2% (1,231)** than for males at **4.9% (1,073)**. This is a consistent trend over the past 4 years.
8. In 2017/18, staff aged 30-39 had the highest rate of promotion at **7.3%** of staff in post compared to **3.8%** for the 50-59 age group and **1.1%** for staff over 60.
9. BAME staff had a higher promotion rate at **6.6%** than White staff at **5.9%** in 2017/18. All groups showed a decrease from 2016/17 rates except for mixed race staff.
10. 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.
  - **2.1%** of all staff markings for 2017/18 were 'Improvement Required' and **16.2%** were 'Outstanding'.
11. Female staff were awarded a higher proportion of 'Outstanding' markings (**19.7%**) than male staff (**13.0%**).
  - The proportions of 'Improvement required' were highest for Black staff (**4.5%**) and Other Ethnic Group staff (**4.4%**). Black staff received notably lower proportions of 'Outstanding' markings than any other group (**8.6%**).
12. In 2017/18, both the rate of bonuses awarded and the average value of those awarded were higher for declared BAME staff, at **6.8** per 100 staff, **£1,108**, than for White staff, **4.8** per 100 staff, **£976**.

13. The rate of bonuses awarded in 2017/18 to those who declared as disabled was **5.2** per 100 people, very similar to that for bonuses awarded to non-disabled staff (**5.1** per 100 people).
14. Of the **1,108** grievance cases concluded in 2017/18, **34.4%** (**381**) were upheld or partially upheld.
15. Overall, female staff raised fewer grievances in 2017/18, at a rate of **1.7** per 100 staff, than males (**2.2** per 100 staff).
16. In 2017/18, the rate of grievances appeared to increase with age from **1.2** per 100 staff for staff aged under 30, to **2.5** per 100 staff for staff aged 50-59.
17. The overall rate of grievances raised per 100 staff was higher amongst BAME staff compared to White staff, at **3.0** per 100 and **2.2** per 100 staff respectively.
18. Overall, female staff were investigated at around half the rate of male staff in 2017/18, **1.6** per 100 females compared to **3.4** per 100 males. The rate of conduct cases involving male staff was more than double the rate for female staff, **1.6** per 100 male staff compared to **0.6** per 100 female staff.
19. The proportion of BAME staff investigated in 2017/18 was higher than the proportion of White staff investigated, **3.7** per 100 staff compared to **2.5**. Similarly, a larger proportion of BAME staff, **1.7** per 100 staff, were subject to conduct and discipline action than White staff at **1.1** per 100 staff.
20. In 2017/18, the average working days lost (AWDL) due to sickness absence was **9.2**, a **0.9** percentage point decrease from 10.1 in 2016/17. Although this the lowest rate in the time series beginning in 2014/15, comparisons to previous years must be interpreted with caution due to an under-recording of sickness absence records between January and March 2017 during migration of data to the Single Operating Platform. There is therefore likely to be an undercount of working days lost during period covering 1 April 2016 and 31 March 2017, and the 12 months to 31 March 2018 should be treated with caution.
21. The AWDL to sickness absence was slightly higher for female staff at **9.3** days, than for male staff at **9.0** days.
22. The AWDL was **9.7** days for BAME staff and **9.4** days for White staff.
23. The leaving rate for female staff was lower in the 12 months ending 31 March 2018 at **8.0%** than the rate for male staff at **10.0%**.
24. BAME staff had a higher leaving rate at **8.1%** in the 12 months ending 31 March 2018 than White staff at **7.7%**.

## Commentary

Protected characteristics information is recorded for HMPPS 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 HMPPS 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 HMPPS staff are not distributed across England and Wales in the same proportions as the general population, this may render such comparisons invalid.

Data on the protected characteristics race, disability, sexual orientation and religion/belief were collected from self-declared, non-compulsory fields on the Human Resources Management System (HRMS) until December 2016 and from the Single Operating Platform (SOP) from January 2017 onwards. 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.

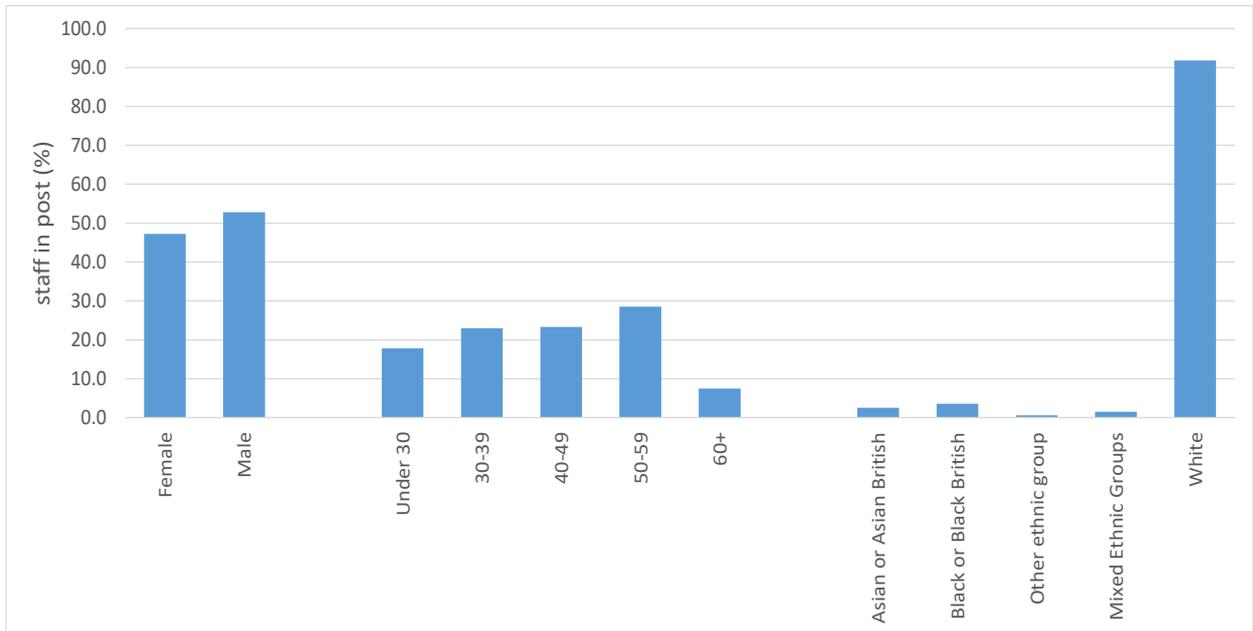
Race, disability, religion and sexual orientation are all self-declared, optional fields. Since the introduction of SOP in January 2017, there has been a very large drop in the declaration rates of new joiners to HMPPS. It is likely that the very low declaration rates are due to issues with the user-friendliness of SOP when it was first introduced, and this means that for this year, the declaration rates are much too low to allow meaningful analysis of new recruits by these protected characteristics. The Ministry of Justice is looking at ways to address these issues and improve these declaration rates, and recent figures in the latest HMPPS Quarterly Workforce Bulletin show increases for all characteristics, particularly for religion and sexual orientation.

## Total staff in post

As at 31 March 2018, there were **49,138** staff (headcount) in HMPPS, an **increase of 3,117 (6.8%)** on the previous year. This consisted of **27,513** staff in operational grades, **10,290** in the National Probation Service (NPS) grades, and **11,331** in non-operational grades.

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 tables 1a and 1b.

**Figure 1: HMPPS staff by protected characteristic, as at 31 March 2018**



Note: Disability, religion and sexual orientation breakdowns are not shown due to low declaration rates.

### Gender

Females accounted for **47.2% (23,208)** of HMPPS staff as at 31 March 2018, a decrease of **0.1** percentage points on their representation for the previous year when it was 47.3% (**21,759** females).

**36.9% (69)** of senior leaders in public prisons and HMPPS HQ (Senior Civil Servants and operational managers including governors) were female. Furthermore, females accounted for **32.6% (251)** of operational manager bands 7-9, **26.7% (5,836)** of prison officer bands 3-5, and **44.6% (2,111)** of Operational Support Grades (OSGs).

In contrast, the majority of staff in non-operational grades (in prisons, HMPPS HQ and Area Services) were female. **55.2%** in manager grades (up by **2** percentage points from **53.2%** in March 2017), and **65.0%** in grades below management level (up **0.3** percentage points from **64.7%** since the previous year).

The NPS<sup>1</sup> had higher female representation than the other parts of HMPPS. Females predominated in the NPS at all levels, comprising **66.0% (101)** in senior NPS roles (NPS bands A-D), **68.3% (697)** in NPS bands 5-6, and **76.8% (7,000)** in NPS grades below management level (which includes probation officers at band 4).

### Age

As at 31 March 2018, the age band with the largest proportion of staff was those aged 50-59, comprising **28.5% (14,002)** of all staff. The proportion of those aged over 40 as at 31 March 2018 stood at **59.3% (29,123)**, a decrease of **4.2** percentage points since the

<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.

previous year whilst those aged under 30 represented **17.8% (8,738)** of the HMPPS workforce, an increase of **3.8** percentage points since 31 March 2017.

By grade, the 50-59 age band had the highest proportion for every grade except for those at NPS grades below management level with **24.9% (2,269)** compared to **26.6% (2,421)** for those aged 30-39.

### *Race*

As at 31 March 2018, **66.8%** of staff have declared their ethnicity. Of these, **8.2%** (2,692) were in a Black, Asian or Minority Ethnic (BAME) group. Caution should be used in interpreting this figure as declaration rates vary across the different parts of HMPPS. In NPS below management grades, the declaration rate was only **53.5%**. 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 for this group suggests that the real level of BAME representation across HMPPS may not reflect the reported figures.

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 **5.8% (842)**, unchanged from the year before (**5.8%**).

### *Other protected characteristics*

**51.1%** of staff declared their disability, which is below the threshold at which meaningful representation rates can be considered.

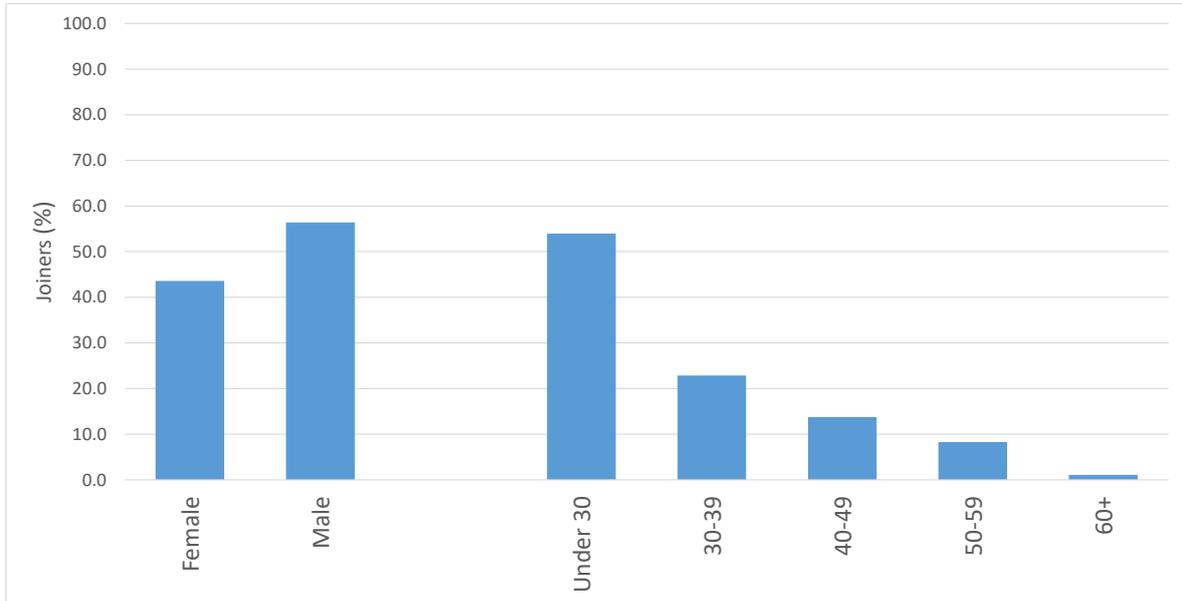
Similarly only **30.8%** of staff declared their religion, and **30.7%** declared their sexual orientation. It is not meaningful to consider representation rates while declaration rates remain so low.

These declaration rates for 2017/18 were lower than the previous year.

### **New joiners**

The number of staff appointed to HMPPS has increased from 3,762 in 2014/15 to **7,888** in 2017/18. During 2017/18 HMPPS recruited **3,830** more staff than in 2016/17, an increase of **94.4%**. The largest group of recruits is to band 3 to 5 officer, with **4,933** in the 12 months to 31 March 2018. Figure 2 shows a breakdown of joiners by gender and age; additional details can also be found in the tables 2a and 2b.

**Figure 2: HMPPS new joiners by protected characteristic, 1 April 2017 to 31 March 2018**



*Note: BAME, disability, religion and sexual orientation breakdowns are not shown due to low declaration rates*

Overall, **56.4%** of those who joined HMPPS were male with **43.6%** being female. This varies considerably by grade. Among the **4,933** band 3-5 officers who joined in 2017/18, **69.2%** were male. Among the **776** operational support grades (OSG) who joined in the 12 months to 31 March 2018, **53.2%** were male. In contrast the majority of non-operational joiners were female, **60.9%** of non-operational managers and **68.9%** of non-operational staff below management level. This pattern is similar to those who joined in 2016/17. Females also made up the vast majority of new recruits to NPS grades, below management level, accounting for **74.2%**, down from **78.6%** of new recruits in 2016/17.

More than half of new joiners (**54.0%**, equivalent to **4,257** individuals) in 2017/18 were aged under 30 whilst **23.2%** (1,827) were aged 40 or older. Specifically, **59.5%** (2,936) who joined as band 3-5 officers and **46.3%** (359) of OSGs were aged under 30, whilst staff in non-operational roles tended to have a higher proportion of those aged 40 and over; this includes **54.0%** of non-operational managers and **42.9%** non-operational staff below management level in prisons and HMPPS HQ.

**Race, disability, religion and sexual orientation are all self-declared, optional fields. Since the introduction of SOP in January 2017, there has been a very large drop in the declaration rates of new joiners to HMPPS. It is likely that the very low declaration rates are due to issues with the user-friendliness of SOP when it was first introduced. This means that for this year, the declaration rates are much too low to allow meaningful analysis of new recruits by these protected characteristics.**

### Temporary cover

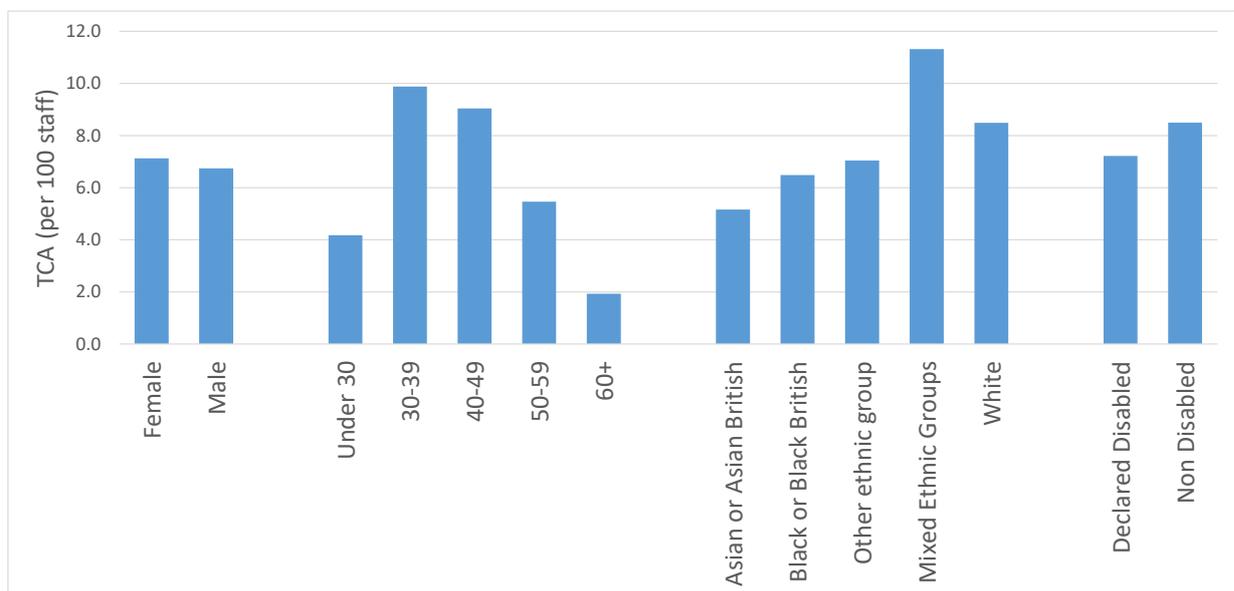
Temporary cover payments are a system that enables staff to work temporarily in a more senior role and receive an additional payment while this work is undertaken. The NPS

have a different system of temporarily filling higher roles and are not covered in this section 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 2018, **2,333** staff were receiving Temporary Cover Allowances (TCA), for filling posts of a higher grade on a temporary basis. This represents **6.9%** of staff, an increase from **5.3%** of staff in the previous year. The rate of temporary cover allowances is illustrated in figure 3, with additional details in tables 3a and 3b.

**Figure 3: Temporary cover allowances (TCA) per 100 staff, as at 31 March 2018**



*Note: Religion and sexual orientation breakdowns are not shown due to low declaration rates.*

As at 31 March 2018, **7.1 %** of females were on temporary cover, compared to **6.7%** of males. In the previous year, the proportion of males and females on temporary cover was slightly lower (both at 5.3%). There were differences in the gender balance by grade group, most notably for non-operational below managers, where **6.2%** of females and **4.2%** of males were on temporary cover as at 31 March 2018. Rates of temporary cover amongst staff in NPS grades are not shown as they have a different system for TCA.

Temporary cover payments were most prevalent amongst those aged 30 to 39 and 40 to 49 (**9.9%** and **9.0%** respectively), compared to **4.2%** of under 30s, **5.5%** of 50 to 59 year olds, and **1.9%** of aged 60 or over.

**7.1%** of BAME staff were receiving temporary cover payments as at 31 March 2018, compared to **8.5%** of White staff. Last year 4.4% of BAME staff and 5.8% of White staff were on temporary cover. Numbers within the subset groups within BAME are lower, so some caution is advised when viewing rates. However within the BAME category, **11.3%** of those in the Mixed Ethnic group received a temporary cover payment representing an increase of **3.6** percentage points since the previous year.

The proportion of staff receiving temporary cover allowances was slightly lower amongst disabled staff compared to non-disabled (**7.2%** and **8.5%** respectively as at 31 March 2018).

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

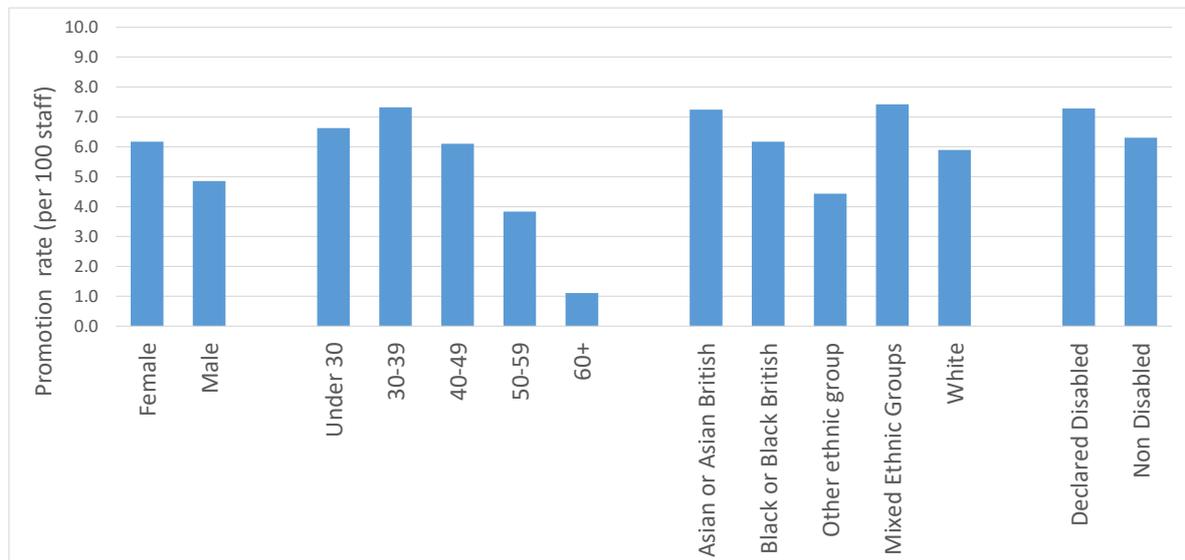
## Promotions

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.

The number of promotions increased in recent years, from 1,425 in 2014/15 to 2,571 in 2016/17, but dropped to **2,304** in 2017/18; the latter represents a decrease of **10.4%** (**267**) compared to the previous year.

The rate of promotions, which represents the number of individuals promoted per 100 staff, in 2017/18 across all protected characteristics is illustrated in figure 4. Additional details on promotions can also be found in tables 4a and 4b.

**Figure 4: Promotions per 100 staff, 1 April 2017 to 31 March 2018**



*Note: Religion and sexual orientation breakdowns are not shown due to low declaration rates.*

The promotion rate for female staff was higher in 2017/18 at **6.2%** (**1,231**) than for males at **4.9%** (**1,073**). Over the past 4 years, promotion rates have been generally higher amongst female staff compared to male staff. In relation to gender splits of promotion

rates by grade, the rates for females were higher than for males in all grades, except Operational manager (**7.3%** against **8.7%**).

The rate of promotion generally declines overall as the age of staff increases. In 2017/18, staff aged 30-39 had the highest rate of promotion at **7.3%** of staff in post compared to **3.8%** for the 50-59 age group and **1.1%** for staff over 60. The pattern of falling promotion rates with age is seen across all the grade bands, except NPS manager grades where staff aged 40-49 had the highest rate amongst the age groups of **8.3%**.

In the 12 months ending 31 March 2018, BAME staff had a higher promotion rate at **6.6%** than White staff at **5.9%**. All BAME groups had a higher promotion rate than White staff except the Other ethnic group at **4.4%**, with those identifying as Mixed Ethnic having the highest rate at **7.4%**.

In relation to grades for 2017/18, BAME staff had a higher promotion rate across non-operational and NPS below manager grades when compared to White staff. Promotion rates were lower for BAME staff than White staff for the operational manager, non-operational manager and band 3-5 officer grades.

In 2017/18, the rate of promotion between staff who declared themselves disabled was higher than that of non-disabled staff, **7.3%** and **6.3%**, respectively.

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

## **Staff appraisals**

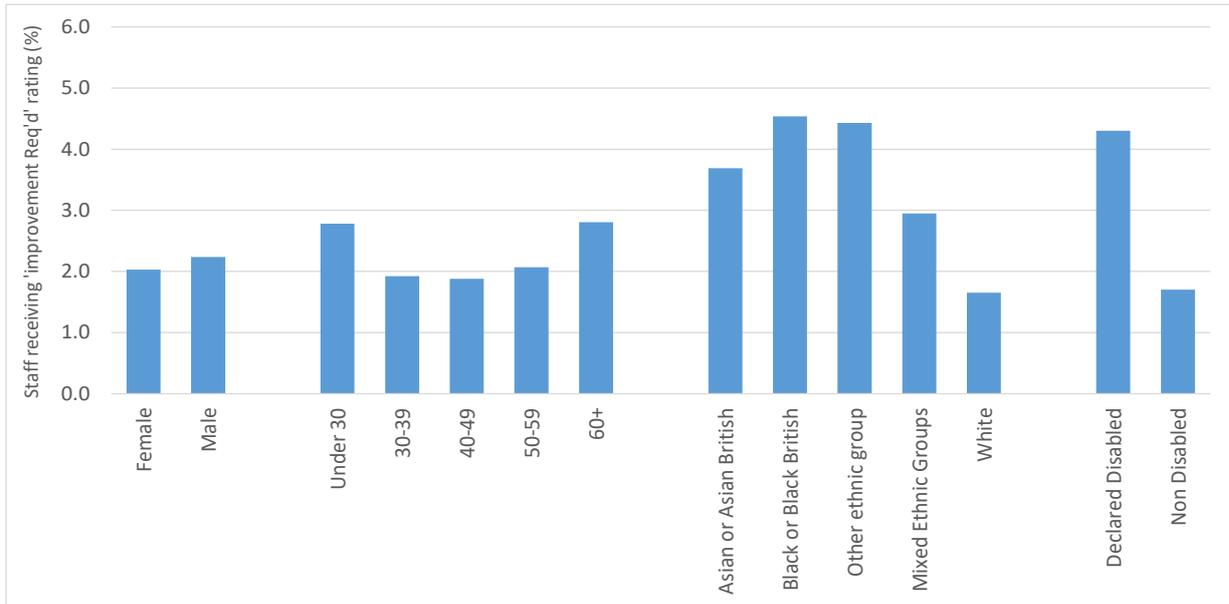
In HMPPS the system of staff appraisals is called the 'Staff Performance and Development Record'. There is an annual cycle of appraisals and marks are awarded at the mid-year and then the end-year. It is the end-year markings that are analysed in this report. Further detail on appraisal ratings can be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

From 2014/15 HMPPS used the following appraisal rating categories: 'Must Improve', 'Good' and 'Outstanding'. From 2017/18, the rating 'Must improve' changed to 'Improvement required'.

In 2017/18, **34,291** HMPPS staff received an appraisal rating. Of these, **2.1%** were awarded 'Improvement required', **81.6%** were awarded 'Good' and **16.2%** were awarded 'Outstanding'. The corresponding figures for 2016/17 for the **35,208** staff who received an appraisal rating were **2.1%** 'Must Improve', **82.0%** 'Good' and **15.8%** 'Outstanding'.

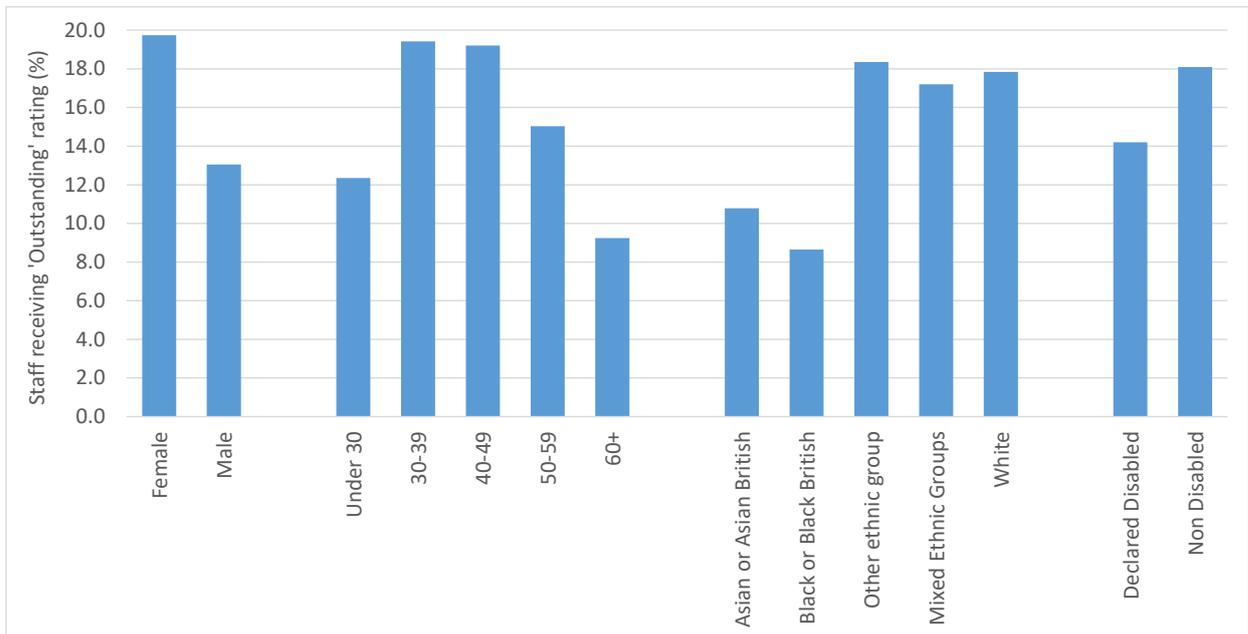
Figures 5 and 6 show the percentage of staff receiving 'Improvement required' and 'Outstanding' appraisal ratings respectively in 2017/18, split by protected characteristic.

**Figure 5: Percentage of staff receiving 'Improvement Required' appraisal rating 2017/18**



Note: Religion and sexual orientation breakdowns are not shown due to low declaration rates.

**Figure 6: Percentage of staff receiving 'Outstanding' appraisal rating, 2017/18**



Note: Religion and sexual orientation breakdowns are not shown due to low declaration rates.

In 2017/18, a similar proportion of females (2.0%) and males (2.2%) received 'Improvement required' appraisal ratings. Female staff were however awarded a higher proportion of 'Outstanding' markings, 19.7% compared to 13.0% of male staff. Within all the 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 'Improvement required' ratings at all grades and within all staff groupings were lower than for males.

The proportion of staff receiving 'Improvement required' varied with age in 2017/18. The proportion of 'Improvement required' markings was lowest for staff aged 30-39 and 40-49 at **1.9%**, with the highest proportions for those aged under 30 or 60 and over at **2.8%**. A similar pattern is seen in 2016/17.

The proportion of staff receiving 'Outstanding' ratings in 2017/18 varied more with age than 'Improvement required'; staff aged under 30 received 'Outstanding' ratings at **12.4%**. This proportion then increased to **19.4%** for staff aged 30-39 before decreasing with age to **9.2%** of staff aged 60 and over receiving 'Outstanding' ratings.

In 2017/18, a higher proportion of BAME staff received 'Improvement required' ratings at **4.0%** compared to White staff at **1.7%**. The proportions of 'Improvement required' were highest for Black staff (**4.5%**) and Other ethnic group staff (**4.4%**).

BAME staff also had worse outcomes than their White counterparts in terms of the proportion of 'Outstanding' markings awarded. In 2017/18, **11.6%** of BAME staff received an 'Outstanding' marking compared to **17.9%** of White staff. The gap has widened since the previous year when the proportion of BAME 'Outstanding' markings was **4.0** percentage points lower than White staff (compared to **6.3** percentage points in 2017/18). Black staff received notably lower proportions of 'Outstanding' markings than any other group with **8.6%** while Other Ethnic groups received the highest at **18.4%**.

There are substantial differences in the overall pattern of appraisal markings awarded according to grade level. For 2017/18 overall, senior staff received fewer 'Improvement required' and substantially more 'Outstanding' markings. While this 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 **39.2%** of BAME staff received an 'Outstanding' marking compared to **35.7%** of White staff. The disparity in markings by race can therefore not be explained by the different distribution across grades.

The declaration rate for disability status exceeded the 60% in 2017/18, where **4.3%** of staff declared as disabled received 'Improvement required', higher than the **1.7%** of staff declared non-disabled, while disabled staff receiving the 'Outstanding' rating was **14.2%**, lower than non-disabled staff at **18.1%**.

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

### **Special bonuses**

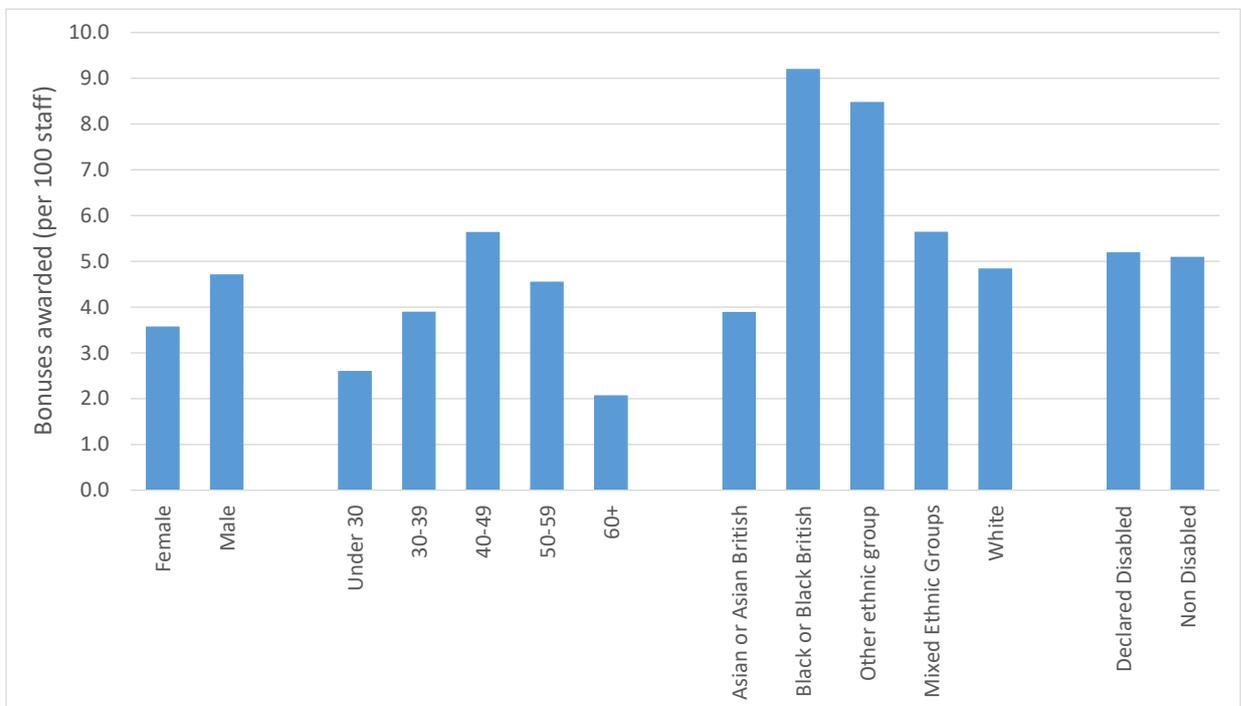
Special bonuses allow local management the opportunity to recognise and reward any member of staff for exceptional performance in a particularly demanding task or situation through a one-off non-consolidated lump sum payment of up to £2,000 (or £20,000 with CEO approval). The rate of special bonuses awarded to staff in 2017/18 at **4.2** per 100 staff was higher than the rate awarded in 2016/17 which was **2.6** per 100 staff. The

average value of the awards however, dropped by **11.0%** from **£1,020** in 2016/17 to **£908** in 2017/18.

NPS grades had fewer special bonuses awarded in 2017/18 than the rest of HMPPS. The rate of bonuses awarded was higher for operational managers, **32.8** per 100 staff, than the more junior operational positions of band 3-5 officers, at **4.6** per 100 staff, and OSGs at **0.5** per 100 staff. There was a similar but less pronounced difference for non-operational grades.

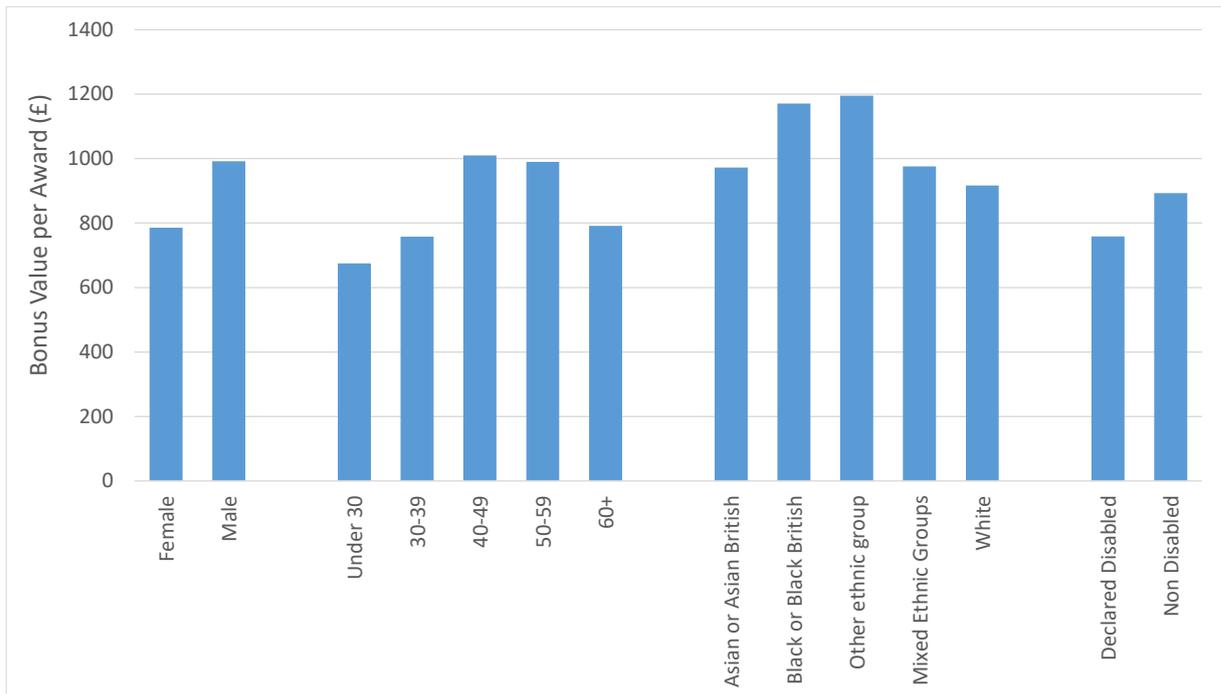
The rate of bonuses awarded (i.e. the number of bonuses awarded per 100 staff) and the value per award across protected characteristics are illustrated in figures 7 and 8 and can be viewed in table 6a, 6b(i) and 6b(ii).

**Figure 7: Special bonuses awarded per 100 staff, 1 April 2017 to 31 March 2018**



*Note: Religion and sexual orientation breakdowns are not shown due to low declaration rates.*

**Figure 8: Average value of special bonuses awarded, 1 April 2017 to 31 March 2018**



*Note: Religion and sexual orientation breakdowns are not shown due to low declaration rates.*

The rate of special bonuses awarded in 2017/18 was higher for males at **4.7** per 100 staff than for females at **3.6** per 100 staff. The average value of the bonuses was also marginally higher for males who received an average of **£992** compared to females who received an average of **£786**. The higher rates of male bonuses was evident in most grades except the non-operational grades and NPS manager grades. Higher average bonus values for females were present in most grades except for the non-operational and NPS below manager grades where male average bonus awards were higher.

In 2017/18, staff in the **40-49** age-group had the highest rate of bonuses awarded at **5.6** per 100 staff, followed by staff in the 50-59 at **4.6** per 100 staff. Staff over 60 and under 30 had the lowest rates of bonuses (**2.1** and **2.6** per 100 staff respectively). The 40-49 age-grouping also had the highest average value of awards at **£1,010**. Ages 50-59 received the second largest average value of award at **£989** followed by over 60's at **£791**, while under 30s and 30-39 had lower average bonuses at **£675** and **£758** respectively.

In 2017/18, the rate of bonuses awarded to BAME was higher compared to White staff (**6.8** compared to 4.8 per 100 staff respectively), and the average value of bonuses awarded was also higher for declared BAME staff and White staff (**£1,108** and **£916** respectively). There are differences 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 most bonuses at a rate of **9.2** per 100 staff compared to the lowest rate of 1.2 in 2016/17, and the second highest average value at **£1,171**.

The rate of bonuses awarded in 2017/18 to those who declared as disabled was **5.2** per 100 people, compared to **5.1** per 100 people for those awarded to non-disabled staff. The

average value of these awards was however lower for those declared disabled at **£759**, compared to non-disabled at **£893**.

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.

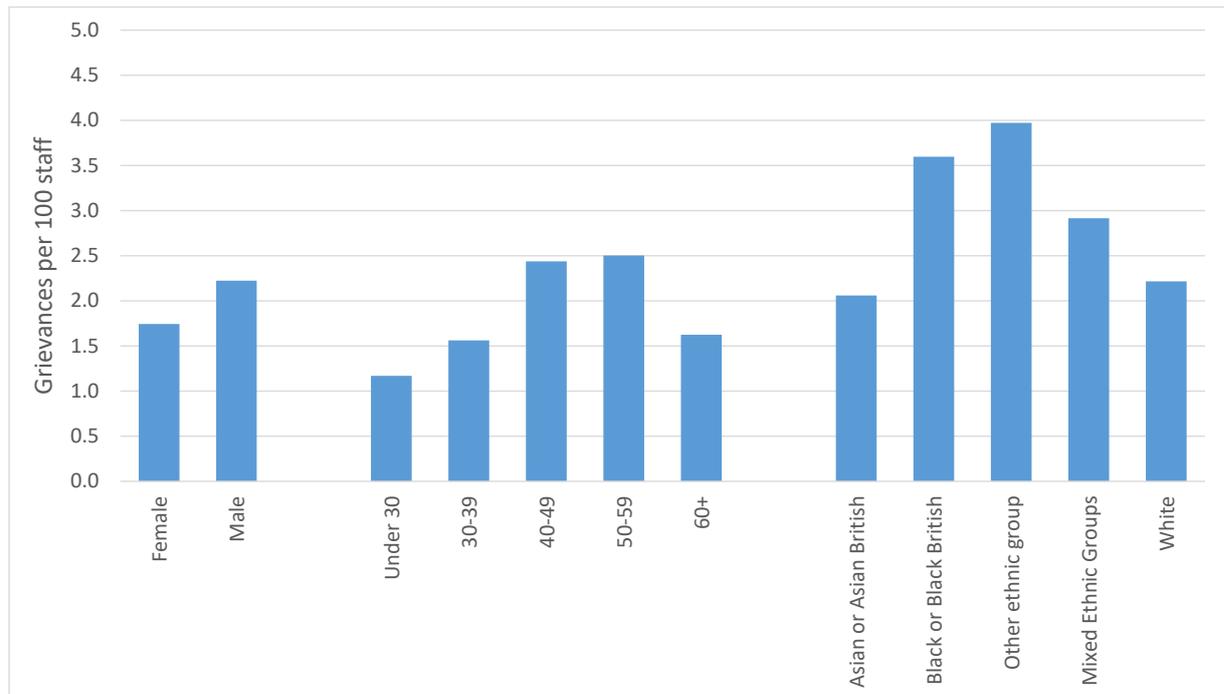
## Grievances

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 7b(i) and 7b(ii).

In 2017/18, there were **937** staff who raised grievances, resulting in **1,108** cases. Of these cases, **34.4%** (**381** cases) were upheld or partially upheld. The overall figures in 2017/18 for the number of grievances raised represented **2.0** per 100 staff, very slightly up on 2016/17 at 1.9 per 100 staff. The percentage of cases upheld or partially upheld in 2017/18 at **34.3%**, a decrease of **11.9** percentage points since last year. Across grade breakdowns, band 3-5 prison officers had the highest rate in terms of raising a grievance at **2.6** per 100 staff.

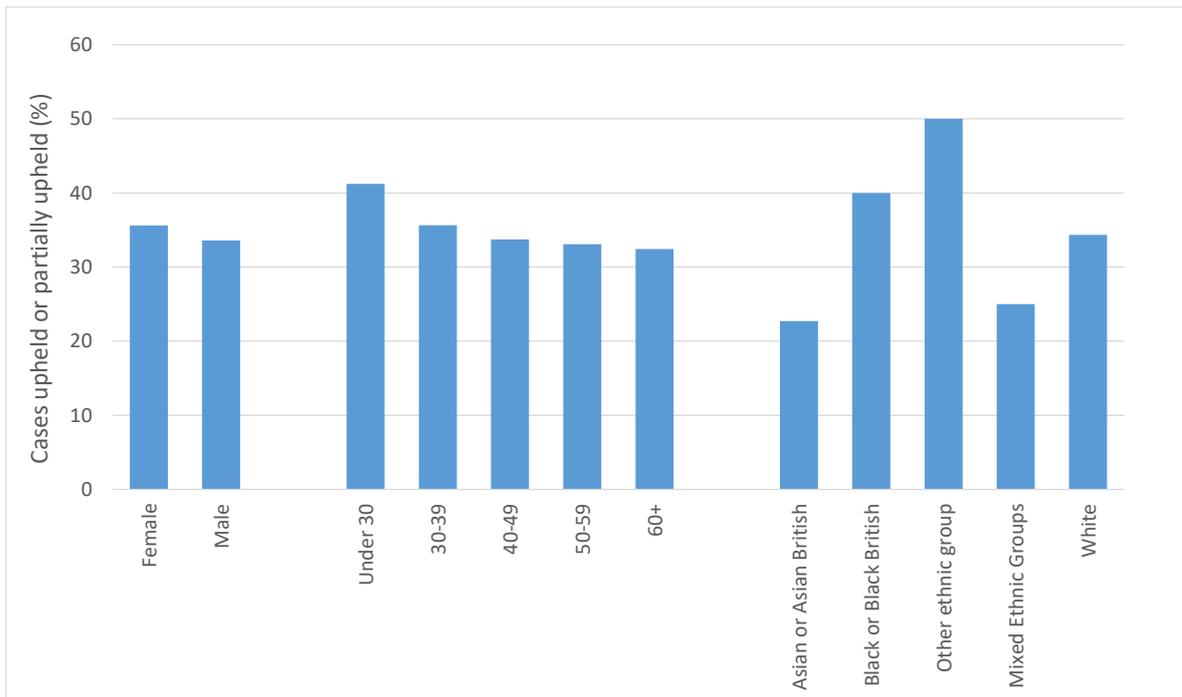
Figures 9 and 10 show the rate per 100 staff raising grievances and the percent of cases upheld or partially upheld, split by protected characteristic.

**Figure 9: Number of staff per 100 staff raising grievances, 1 April 2017 to 31 March 2018**



*Note: Disability, religion and sexual orientation breakdowns are not shown due to low declaration rates.*

**Figure 10: Percent of cases upheld or partially upheld, 1 April 2017 to 31 March 2018**



*Note: Disability, religion and sexual orientation breakdowns are not shown due to low declaration rates.*

Overall, female staff raised fewer grievances in 2017/18, at a rate of **1.7** per 100 staff, than males, **2.2** 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, although specifically amongst band 3-5 prison officers, female staff had the same rate of grievances raised as male staff (at **2.6**). The largest difference between rates of female and male staff who a raised grievance was for the operational manager group (at **1.3** and **2.5** per 100 staff respectively).

The percentage of cases upheld or partially upheld in 2017/18 was higher for females (**35.6%**) than for males (**33.6%**), but both of these showed a drop from the previous year (**46.7%** and **46.0%** respectively).

In 2017/18, there was a tendency for the rate of grievances to increase with age from **1.2** per 100 staff for staff aged under 30, to **2.5** per 100 staff for staff aged 50-59, but dropped to **1.6** per 100 staff for staff aged 60 and over.

The proportion of cases upheld or partially upheld was fairly similar for the age groups 30 and over (ranging from **32.4%** to **35.6%**), with only those aged under 30 having a proportion over 40 (**41.2%**).

The overall rate of grievances raised per 100 staff was higher amongst BAME staff compared to White staff, at **3.0** per 100 and **2.2** per 100 staff respectively. As was the case for female staff, this overall finding may be confounded by grade differences. In each grade group BAME staff had higher rates of raising grievances.

In 2017/18, the percent of cases upheld or partially upheld was very similar for White staff at **34.4%** as for BAME staff at **34.7%**. For both groups, this was represented a much **lower** percent of cases being upheld or partially upheld in 2017/18 compared to 2016/17, at **47.8%** and **44.6%** respectively.

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, 8b(i) and 8b(ii), and 9a, 9b(i) and 9b(ii).

In 2017/18, **1,188** staff faced at least one investigation, representing a rate of **2.5** per 100 staff and a drop from the **3.2** for 2016/17. Of the **1,258** cases, **816 (64.9%)** had further action recommended. Amongst grades, band 3-5 officers had the highest rate of investigations in 2017/18 at **4.1** per 100 staff, with all other bands with a rate of **2.5** or below.

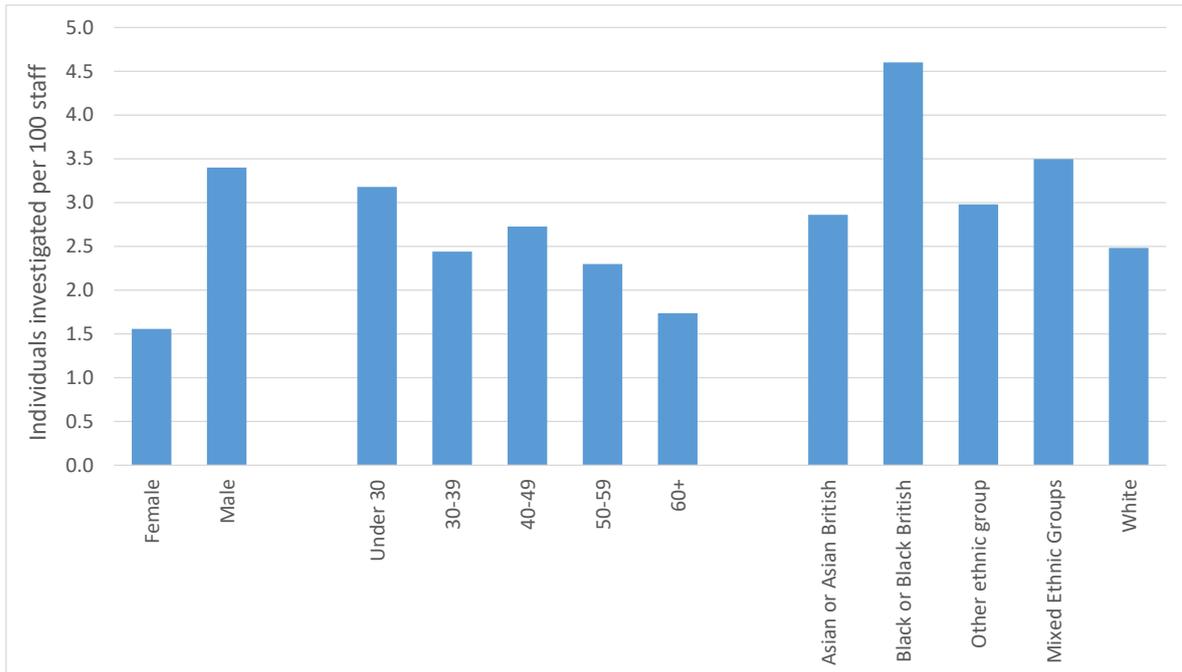
There were **533** staff subject to conduct and discipline action who were given a disciplinary penalty in 2017/18 at a rate of **1.1** per 100 staff. There were a total of **546** conduct cases and of those **22.3%** resulted in the penalty of dismissal<sup>2</sup>. The rate of conduct cases (**1.8** 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 2017/18 and the proportion of cases where further action was recommended split by protected characteristic.

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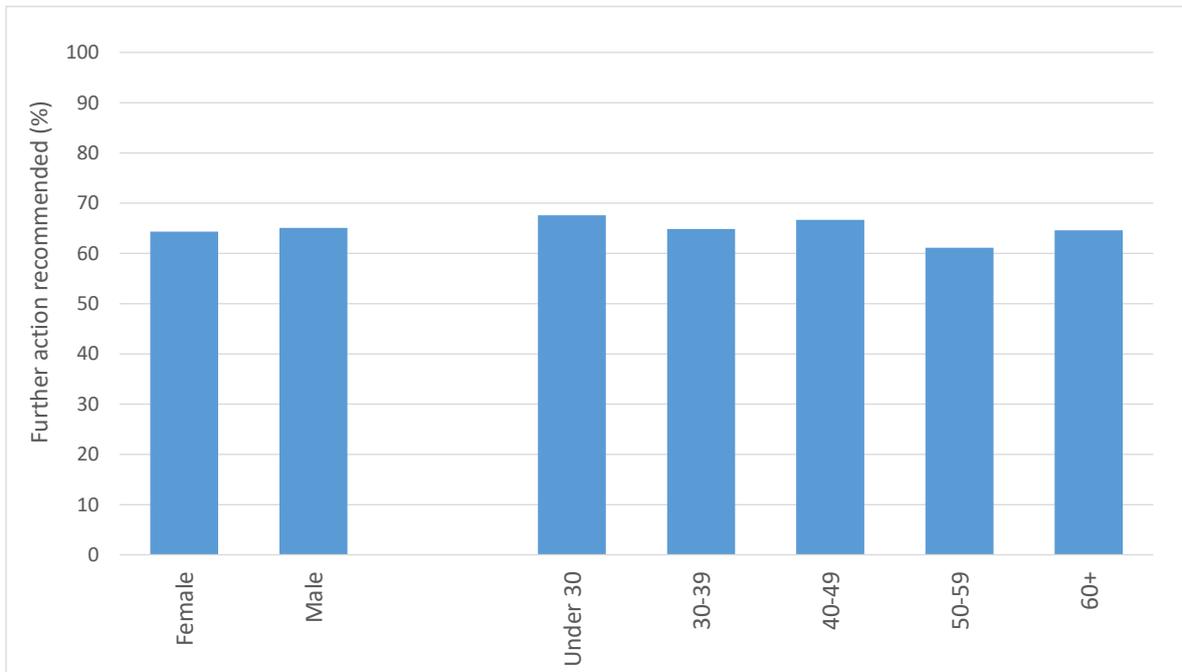
<sup>2</sup> Details of appeals are not included in the analysis so a number of the penalties may have been overturned on appeal.

**Figure 11: Staff subject to at least one investigation per 100 staff in post, 1 April 2017 to 31 March 2018**



Note: Disability, religion and sexual orientation breakdowns are not shown due to low declaration rates.

**Figure 12: Proportion of Investigations where further action was recommended, 1 April 2017 to 31 March 2018**



Note: BAME, disability, religion and sexual orientation breakdowns are not shown due to low declaration rates.

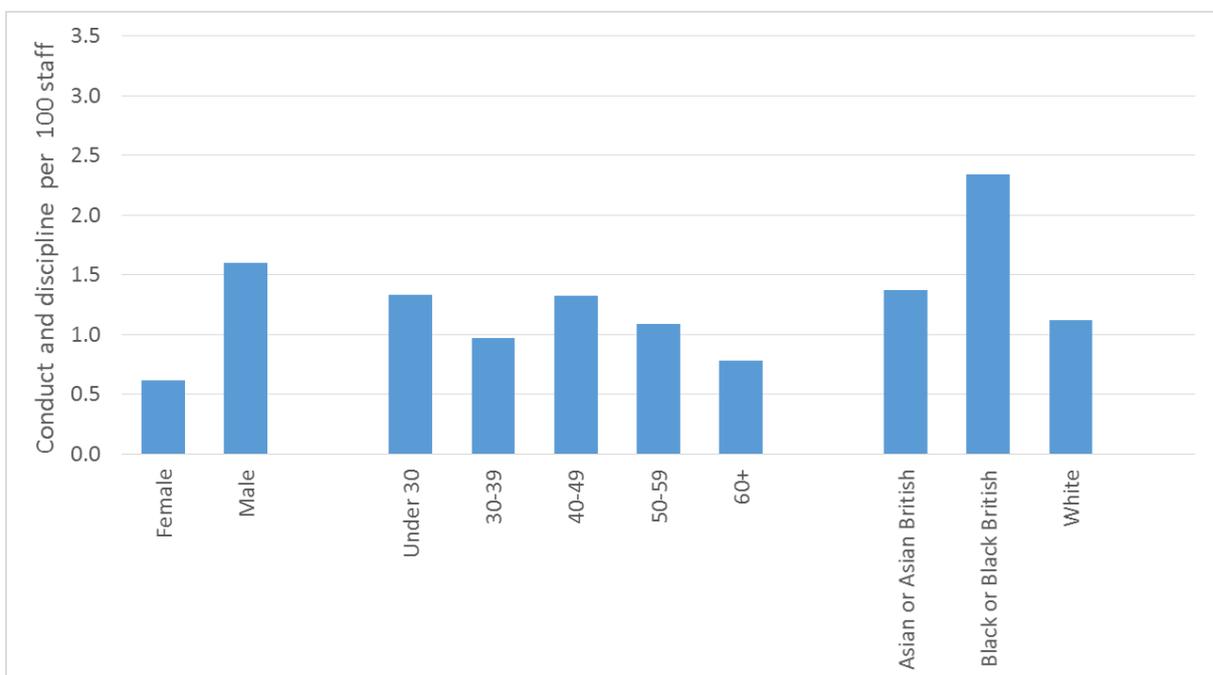
Overall, female staff were investigated at around half the rate of male staff in 2017/18, **1.6** per 100 females compared to **3.4** per 100 males. These levels were both slightly lower than those for 2016/17. The rate of investigations for male staff is higher across all grades other than NPS managers. The percentage of cases with further action recommended, however, was very similar for both genders at **64.3%** and **65.1%**, representing increases from 2016/17 for females of **9.1** percentage points and of **10.3** percentage points for males.

In 2017/18, the number of staff investigated was similar across age groups with numbers of investigated staff ranging from **3.2** per 100 staff for those aged under 30, to **1.7** per 100 staff over 60. The percentage of cases with further action recommended was fairly similar across the age groups, ranging from **61.1%** for staff aged 50-59 to **67.6%** for staff aged under 30.

The proportion of BAME staff investigated in 2017/18 was higher than the proportion of White staff investigated, **3.7** per 100 staff compared to **2.5**. The percentage of cases with further action recommended was lower for BAME staff (**60.4%**) than for White staff (**64.5%**), both higher than their respective 2016/17 figures of **51.4%** and **54.8%**.

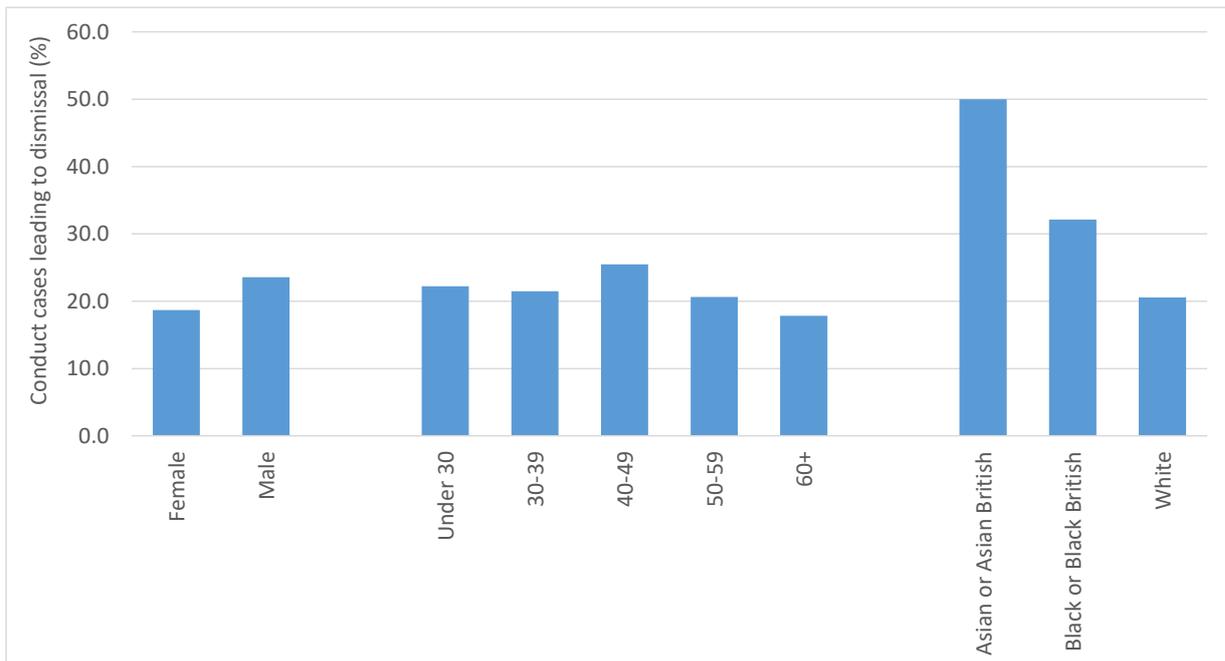
Figures 13 and 14 show the rate per 100 staff who were subject to conduct and discipline action and the proportions of conduct cases leading to dismissal in 2017/18, split by protected characteristics. The patterns mirror those found for investigations due to the close connections of the two processes.

**Figure 13: Staff per 100 staff subject to conduct and discipline action, 1 April 2017 to 31 March 2018**



*Note: Disability, religion and sexual orientation breakdowns are not shown due to low declaration rates. Ethnic groups not shown are due to suppressed figures.*

**Figure 14: Percentage of conduct cases leading to dismissal, 1 April 2017 to 31 March 2018**



Note: Disability, religion and sexual orientation breakdowns are not shown due to low declaration rates. Ethnic groups not shown are due to suppressed figures.

The rate of conduct cases involving male staff was more than double the rate for female staff, **1.6** per 100 male staff compared to **0.6** per 100 female staff, and the proportion of cases resulting in dismissal was higher for male staff than female, **23.6%** compared to **18.7%**.

The number of staff subject to conduct and discipline action in 2017/18 did not vary greatly with age, ranging from **1.3** per 100 staff aged under 30 or 40-49, to **0.8** per 100 staff aged over 60. In 2017/18, the percentage of conduct cases leading to dismissal ranged from **17.9%** for staff aged over 60 to **25.5%** for staff aged 40-49.

In 2017/18, a larger proportion of BAME staff, **1.7** per 100 staff, were subject to conduct and discipline action than White staff at **1.1** per 100 staff. For the four grades where both BAME and White staff have meaningful data for proportions of staff subject conduct and discipline action, BAME staff had higher rates per 100 staff than White staff. The percentages of dismissals resulting from conduct cases were also higher for BAME staff at **33.3%** compared to White staff at **20.6%**.

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

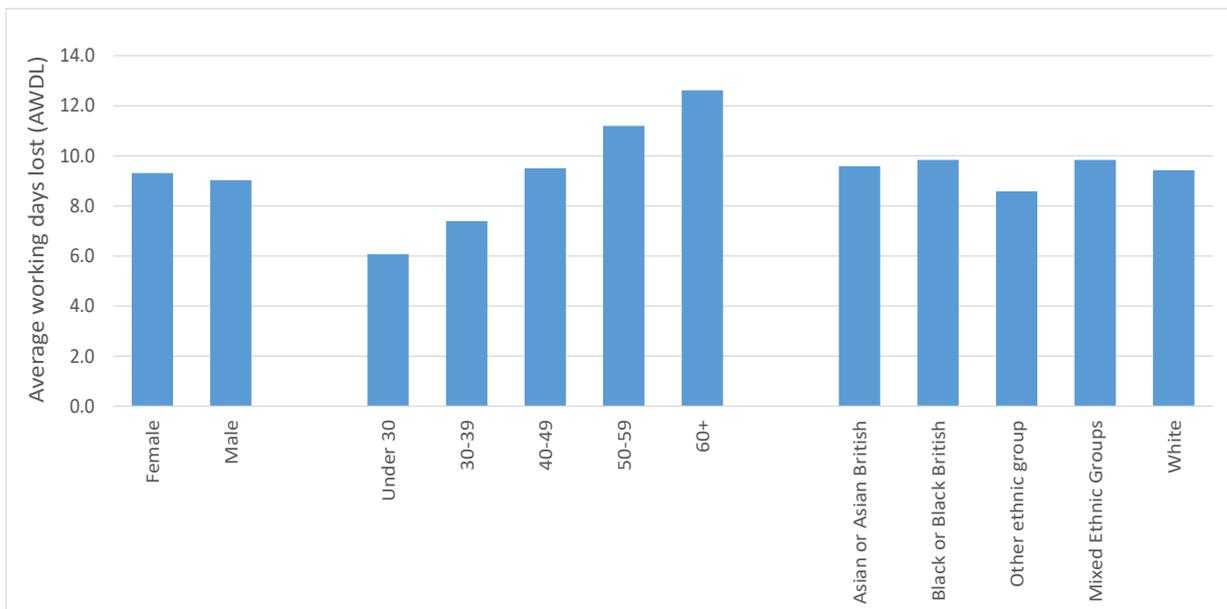
Sickness absence is represented in this section by the average working days lost (AWDL) due to sickness per employee per year. In 2017/18, the AWDL due to sickness absence was **9.2**, a **0.9** percentage point decrease from 10.1 in 2016/17. Although this is the lowest rate in the time series beginning in 2014/15, comparisons to previous years must be

interpreted with caution due to an under-recording of sickness absence records between January and March 2017 during migration of data to the Single Operating Platform. There is therefore likely to be an undercount of working days lost during period covering 1 April 2016 and 31 March 2017. Furthermore, figures for the period covering 1 April 2017 to 31 March 2018 should be treated with caution as they may also be affected.

In 2017/18, across operational, non-operational and NPS roles the AWDL was lower for senior staff compared to grades below management level. Operational and NPS grades below management level had the highest levels of AWDL; **10.5** for NPS staff below management grade, **10.0** for band 3-5 prison officers and **9.2** for prison OSGs.

Figure 15 illustrates the AWDL in 2017/18 across all protected characteristics. Further details on sickness absence can be found in tables 10a and 10b.

**Figure 15: Average working days lost due to sickness absence, 1 April 2017 to 31 March 2018**



*Note: Disability, religion and sexual orientation breakdowns are not shown due to low declaration rates.*

In 2017/18, the average working days lost to sickness absence was slightly higher for female staff at **9.3** days, than for male staff at **9.0** 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 apart from non-operational below manager grades, where the rates are the same.

In 2017/18, the average working days lost to sickness absence increased with age. Under 30s had the lowest AWDL at **6.1** days, rising through each age group to the over 60's who had the highest AWDL at **12.6**.

In 2017/18, the AWDL was **9.7** days for BAME staff and **9.4** days for White staff. Within the BAME category the different groups had broadly similar AWDL of between **9.6** and **9.8**, apart from 'Other Ethnic Group' which had AWDL at **8.6**.

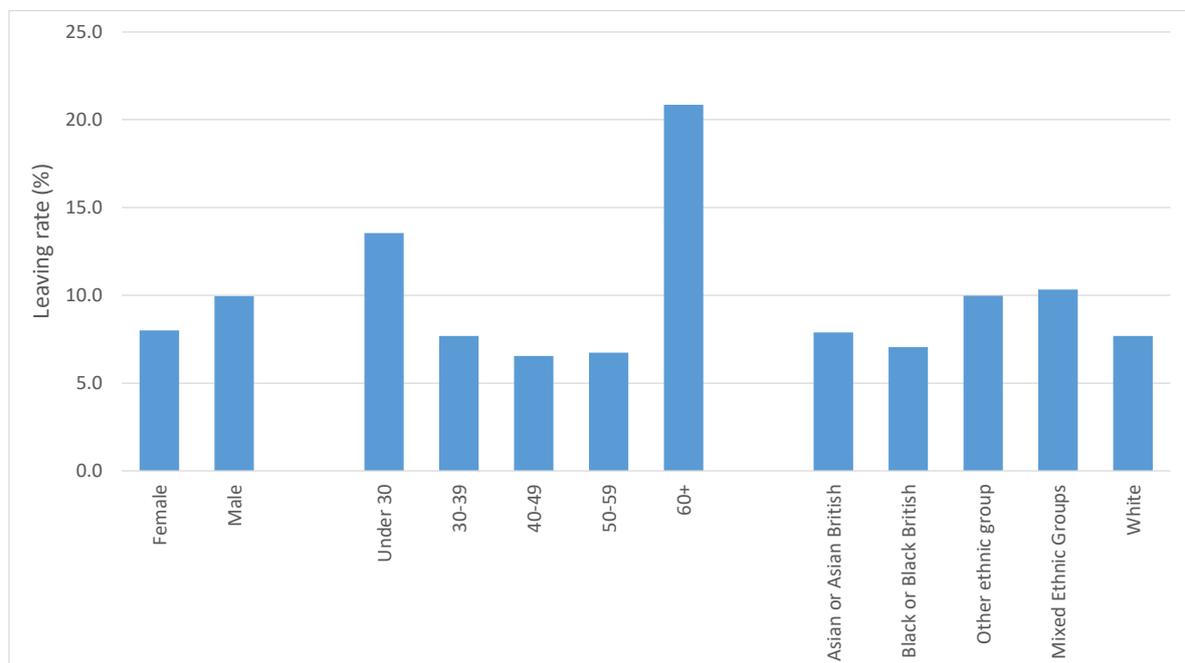
Declaration rates for disability, religion and sexual orientation are too low for any meaningful analysis to be carried out on investigations or conduct and discipline.

## Leavers

In the 12 months ending 31 March 2018, **4,218** permanent staff (headcount) left HMPPS. The leaving rate stood at **9.0%**, representing an increase of **0.3** percentage points from the previous year's rate of 8.7%. The leaving rate in 2017/18 represented the highest of the last four 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 11c.

**Figure 16: Permanent staff leaving rates (excluding VEDS and redundancy), 1 April 2017 to 31 March 2018**



*Note: Disability, religion and sexual orientation breakdowns are not shown due to low declaration rates.*

The leaving rate for female staff was lower in the 12 months ending 31 March 2018 at **8.0%** than the rate for male staff at **10.0%**. This is a slight change from the previous year, with a **0.1** percentage point increase to the leaving rate of females and a **0.5** percentage point increase to the leaving rate for males since the previous year. The difference in

leaving rates between males and females were smaller in the previous three financial years, and in 2014/15 the rates for males and females differ by only 0.4 percentage points. This change coincides with a change in the female representation in HMPPS due to the creation of the NPS in 2014. As such, comparison of gender splits of leaving rates across the time series should be considered with some caution.

Band 3-5 prison officers had the largest leaving rate, and increased from 9.7 in 2016/17 to **10.3** in 2017/18. Considering gender splits of leaving rates by grade group, in the 12 months ending 31 March 2018, OSGs had similar leaving rates by gender at **9.7%** for female officers and **9.8%** for male officers. Leaving rates of OSGs were lower than for officers, and band 3-5 officers also had a larger gender difference with the rate for male Leavers at **10.5%** compared to **9.8%** for females. Leaving rates for both operational and non-operational managers were lower in general, with lower rates for females than males. Non-operational HMPPS grades below management level had high leaving rates with **7.8%** for females and **10.3%** for males. NPS managers had lower leaving rates than NPS staff below manager grades, but the leaving rates for females were lower than for males in both cases – **5.4%** compared to **6.0%** for NPS manager females and males respectively, and **6.9%** and **10.3%** for NPS below manager females and males respectively.

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 **20.9%** in the 12 months to 31 March 2018, consistent with previous years. Leaving rates were similar for those aged 30 to 59, ranging from **6.5%** for 40-49 to **7.7%** for 30-39, while those aged under 30 had the same leaving rate of **13.5** percentage points compared to the previous year 2016/17.

BAME staff had a higher leaving rate at **8.1%** in the 12 months ending 31 March 2018 than White staff at **7.7%**. There are some differences in the leaving rates of the subset groups within the BAME category with black staff having the lowest leaving rate of **7.1%** and Mixed Ethnic Groups having a particularly high leaving rate of **10.3%**. Compared to 2016/17, there was a small decrease in the leaving rate among White staff of **0.5** percentage points and a similar decrease for BAME staff of **0.8** percentage points. By grade, in the 12 months ending 31 March 2018, the leaving rate was higher for BAME staff in non-operational manager grades at **6.6%** than for White staff at **4.9%**. Ethnicity declaration among NPS below manager leavers is too low for leaving rates by ethnic group to be meaningful.

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.

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## Further information

### Accompanying files

As well as this report, the following products are published as part of this release:

- A technical guide and glossary providing details of the data sources and quality. Information on the revisions policy and disclosure relevant to HMPPS staffing data as well as a definition of terms used is also included
- A set of tables for the year as well as over time.

### Official Statistics

The statistics in this bulletin are classified as official statistics. The Statistics and Registration Service Act 2007 defines 'official statistics' as all those statistical outputs produced by the UK Statistics Authority's executive office (the Office for National Statistics), by central Government departments and agencies, by the devolved administrations in Northern Ireland, Scotland and Wales, and by other Crown bodies (over 200 bodies in total). The statistics in this bulletin comply with all aspects of the Code of Practice for Official Statistics. The Code encourages and supports producers of statistics to maintain their independence and to ensure adequate resourcing for statistical production. It helps producers and users of statistics by setting out the necessary principles and practices to produce statistics that are trustworthy, high quality and of public value.

### Consultation 2016/17 results

Following a consultation that ran alongside last year's SER report requesting feedback on the scope of the report, zero responses were received. It was therefore decided that geographical splits would not be included in the report going forward.

### Contact

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**Next update: 28 November 2019**

**URL:** [www.gov.uk/government/statistics/announcements/hm-prison-and-probation-service-staff-equalities-report-2017-to-2018](http://www.gov.uk/government/statistics/announcements/hm-prison-and-probation-service-staff-equalities-report-2017-to-2018)

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