



## Her Majesty's Prison and Probation Service (HMPPS) Annual Staff Equalities Report 2018/19

### Main points

<b>52,623 staff in post as at 31 March 2019</b>		This was an increase of 7.1% compared to the same point in 2018. Females represented 47.9% of staff, and 9.6% of staff who declared their ethnicity were BAME.
<b>8,474 new recruits to HMPPS in 2018/19</b>		This was 586 (7.4%) more than in 2017/18. Females accounted for 46.9% of joiners and more than half of joiners (52.1%) were aged under 30 years old.
<b>5.2% of permanent staff were promoted, an equivalent of 2,644 promotions</b>		A slight decrease from the rate of 5.3% (2,683 promotions) in 2017/18. The promotion rate for female staff was higher in 2018/19 at 5.9% (1,432) than for males at 4.5% (1,212). BAME staff had a lower promotion rate at 5.1% than White staff at 6.2%.
<b>Of those with an appraisal rating, 16.1% were awarded 'Outstanding' and 1.9% were awarded 'Improvement required'</b>		These were both down from the previous year at 16.2% and 2.1% respectively. Staff appraisal outcomes in 2018/19 were worse for male staff, staff aged under 30 and over 60, and for Black staff.
<b>822 staff raised grievances, representing 1.6 per 100 staff</b>		These resulted in 957 cases of which 392 (41.0%) were upheld/ partially upheld. These are all down from the previous year, when there were 913 staff raising 1,085 grievance cases which resulted in 415 (38.2%) being upheld/partially upheld.
<b>Overall rate of conduct &amp; discipline cases was 1.2 per 100 staff</b>		Up from 1.1 per 100 staff in for 2017/18. In 2018/19, the rate was higher for male staff (at 1.6 per 100 male staff) compared to female staff (at 0.7 per 100 female staff).
<b>HMPPS staff lost an average of 9.3 working days due to sickness</b>		A slight increase from 9.2 days for 2017/18. For 2018/19 the average was slightly higher for female than male staff (9.4 and 9.3 days respectively), and was higher for BAME staff (10.6 days) compared to White staff (9.8 days).

*This publication considers staffing profiles and processes of the directly employed HMPPS workforce from an equalities perspective. Technical details and explanatory notes can be found in the accompanying Guide and Glossary to the annual HMPPS Staff Equalities Report.*

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## Points to note

### *Her Majesty's Prison and Probation Service*

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. HMPPS is focussed on supporting operational delivery and the effective running of prison and probation services across the public and private sectors. HMPPS works with a number of partners to carry out the sentences given by the courts, either in custody or the community. Given the data used for this publication covers the reporting period up to 31 March 2019, 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 2018/19:

[www.gov.uk/government/publications/hmppps-annual-report-and-accounts-2018-19](http://www.gov.uk/government/publications/hmppps-annual-report-and-accounts-2018-19)

**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 these interactions. Important considerations, such as differences in grade levels and how they may affect 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 2018/19 will also be published on 29 November 2019 and available at:

[www.gov.uk/government/statistics/announcements/hm-prison-and-probation-service-offender-equalities-report-2018-to-2019](http://www.gov.uk/government/statistics/announcements/hm-prison-and-probation-service-offender-equalities-report-2018-to-2019)

Protected characteristics information is recorded for HMPPS staff on gender, age, race, disability, sexual orientation, 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 based on 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 was a 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 although there has been a large increase in declarations in the last year, they are still too low to allow for 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.

## 1. Summary findings

### Staff in Post and New Joiners

1. As at 31 March 2019, there were **52,623** staff (headcount) in HMPPS, an increase of **3,485 (7.1%)** on the previous year.
2. Females accounted for **47.9% (25,222)** of staff in HMPPS as at 31 March 2019, an increase of **0.7** percentage points on the previous year.
  - **39.2% (76)** of senior leaders in public prisons and HMPPS HQ (Senior Civil Servants and operational managers including governors) were female.
  - The NPS had higher female representation than the other parts of HMPPS, comprising of **64.1% (98)** of staff in senior NPS roles (NPS bands A-D), **70.0% (783)** in NPS bands 5-6, and **77.2% (7,424)** 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 **27.0% (14,195)** of all staff. Meanwhile, the proportion of those aged under 30 increased from 17.8% (8,738) as at 31 March 2018 to **20.0% (810,532)** as at 31 March 2019.
4. As at 31 March 2019, **9.6% (3,801)** of HMPPS staff declared themselves as Black, Asian or Minority Ethnic (BAME).
5. **58.4%** of staff had declared their disability status, **49.0%** of staff their religion, and **49.3%** their sexual orientation, which are below the threshold at which meaningful representation rates can be considered.
6. Although higher than in 2017/18, the declaration rates for race, disability, religion and sexual orientation are quite low for new joiners to HMPPS in 2018/19. This means that for this year, meaningful analysis of their protected characteristics is not possible.

### Temporary cover and Promotions

7. In 2018/19, a higher rate of males were receiving TCA at **6.3%** compared to **5.6%** of females.
8. **5.6%** of BAME staff were receiving temporary cover payments as at 31 March 2019, compared to **6.9%** of White staff.
9. **8.6%** of LGB (Lesbian, Gay, Bisexual and Other) staff were receiving temporary cover payments, compared to **6.5%** of Heterosexual staff.
10. The promotion rate for female staff was higher in 2018/19 at **5.9% (1,432)** than for males at **4.5% (1,212)**. This is a consistent trend over the past 4 years.
11. In 2018/19, staff aged 30-39 had the highest rate of promotion at **7.5%** of staff in post compared to **3.2%** for the 50-59 age group and **1.0%** for staff over 60.
12. BAME staff had a lower promotion rate at **5.1%** than White staff at **6.2%** in 2018/19. All groups showed an increase from 2017/18 rates except for Asian or Asian British staff.

### Staff Appraisals and Special Bonuses

13. **1.9%** of all staff markings for 2018/19 were 'Improvement Required' and **16.1%** were 'Outstanding'.
14. 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.

15. Female staff were awarded a higher proportion of 'Outstanding' markings (**19.7%**) than male staff (**12.6%**).
16. The proportions of staff receiving 'Improvement required' ratings were highest among Black staff and Other Ethnic Group staff, both at **4.8%**. The proportion of staff receiving 'Outstanding' markings was lower among Black staff (**8.9%**) than any other group.
17. In 2018/19, both the rate of bonuses awarded and the average value of those awarded were higher for declared BAME staff, at **4.3** per 100 staff (**£1,310** each), than for White staff, **3.5** per 100 staff (**£852** each).
18. The rate of bonuses awarded in 2018/19 to those who self-declared as disabled was **2.7** per 100 people, lower than that for bonuses awarded to non-disabled staff (**3.8** per 100 people).

#### Grievances, Investigations and Conduct & Discipline

19. Of the **957** grievance cases concluded in 2018/19, **41.0%** (**392**) were upheld or partially upheld.
20. Overall, female staff raised fewer grievances in 2018/19, at a rate of **1.5** per 100 staff, compared to males (**1.7** per 100 staff).
21. In 2018/19, the rate of grievances appeared to increase with age from **0.9** per 100 staff for staff aged under 30, to **2.2** per 100 staff for staff aged 50-59.
22. The overall rate of grievances raised per 100 staff was higher amongst BAME staff compared to White staff, at **2.1** per 100 and **1.8** per 100 staff respectively.
23. Overall, male staff were investigated at more than double the rate of female staff in 2018/19, at **3.8** per 100 males compared to **1.6** per 100 females. 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 **0.7** per 100 female staff.
24. The proportion of BAME staff investigated in 2018/19 was very slightly higher than the proportion of White staff investigated, **2.8** per 100 staff compared to **2.7**. Similarly, a slightly larger proportion of BAME staff, **1.3** per 100 staff, were subject to conduct and discipline action than White staff at **1.2** per 100 staff.

#### Sickness and Leavers

25. In 2018/19, the AWDL due to sickness absence was **9.3**, a **0.2** percentage point increase from 9.2 in 2017/18.
26. The AWDL to sickness absence was slightly higher for female staff at **9.4** days, than for male staff at **9.3** days.
27. The AWDL was **10.6** days for BAME staff and **9.8** days for White staff.
28. The leaving rate for female staff was lower in the 12 months ending 31 March 2019 at **8.8%** than the rate for male staff at **11.2%**.

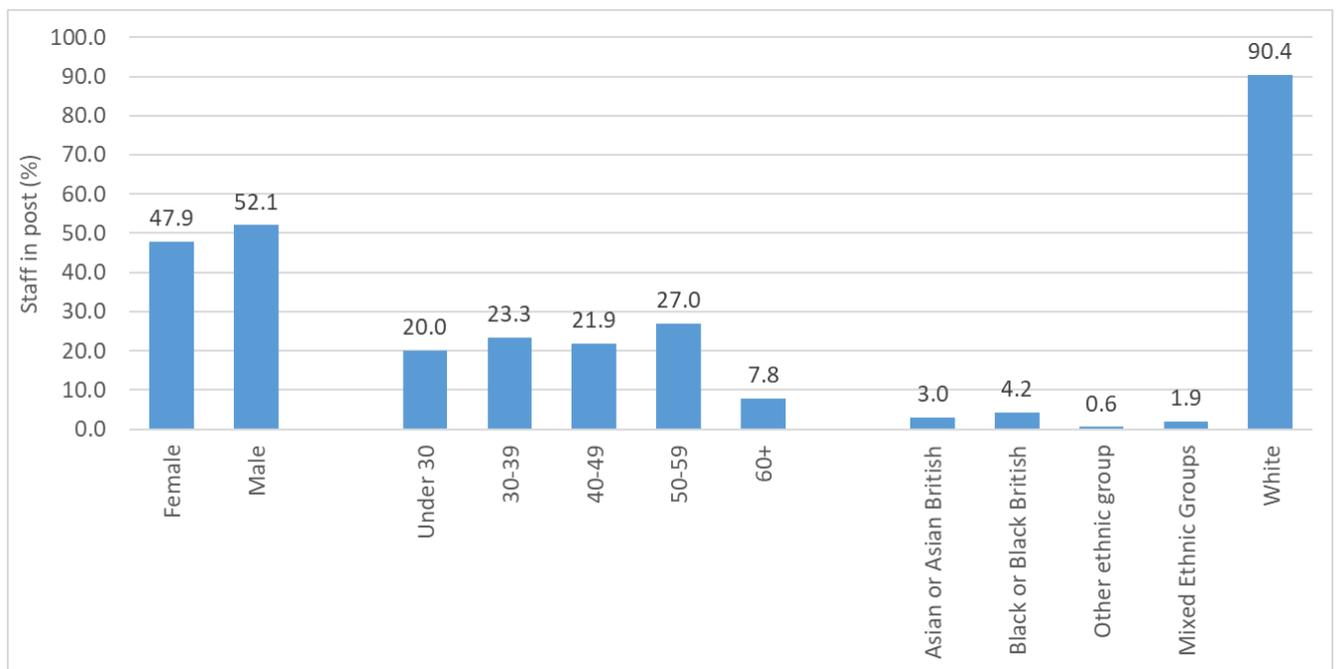
## 2. Total staff in post

There were **52,623** staff in post as at **31<sup>st</sup> March 2019**, **7.1% more than at the same date in 2018**. Females accounted for 47.9% of staff, the age band with the largest proportion of staff was 50-59 year olds (27.0%) and 9.6% of staff who declared their ethnicity were BAME.

As at 31 March 2019, there were **52,623** staff (headcount) in HMPPS, an **increase of 3,485 (7.1%)** on the previous year. This consisted of **29,412** staff in operational grades, **10,290** in the National Probation Service (NPS) grades, and **12,317** 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 2019**



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

Females accounted for **47.9% (25,222)** of HMPPS staff as at 31 March 2019, an increase of **0.7** percentage points on their representation for the previous year when it was 47.2% (**23,208** females).

**39.2% (76)** of senior leaders in public prisons and HMPPS HQ (Senior Civil Servants and operational managers including governors) were female. Furthermore, females accounted for **35.1% (288)** of operational manager bands 7-9, **27.7% (6,496)** of prison officer bands 3-5, and **45.6% (2,251)** of Operational Support Grades (OSGs).

In contrast, there were more female than male staff in non-operational grades (in prisons, HMPPS HQ and Area Services); **55.8%** in non-operational manager grades (up by **0.6** percentage points from **55.2%** in March 2018), and **65.3%** in non-operational grades below management level (up **0.3** percentage points from **65.0%** since the previous year) were female.

The NPS<sup>1</sup> had higher female representation than the other parts of HMPPS. Females predominated in the NPS at all levels, comprising of **64.1% (98)** of staff in senior NPS roles (NPS bands A-D), **70.0% (783)** in NPS bands 5-6, and **77.2% (7,424)** in NPS grades below management level (which includes probation officers at band 4).

As at 31 March 2019, the age band with the largest proportion of staff was those aged 50-59, comprising of **27.0% (14,195)** of all staff. The proportion of those aged over 40 as at 31 March 2019 stood at **56.7% (29,812)**, a decrease of **2.6** percentage points since the previous year whilst those aged under 30 represented **20.0% (10,532)** of the HMPPS workforce, an increase of **2.2** percentage points compared to 31 March 2018.

By grade, the 50-59 age band had the highest proportion of staff mostly across all the grades, except for band 3-5 officers (**24.0% (5,637)** compared to **27.3% (6,408)** aged under 30), those at NPS management grade band 5-6 (**30.1% (336)** compared to **31.7% (354)** aged 40-49), and those at NPS grades below management level (**24.1% (2,319)** compared to **25.5% (2,456)** aged 30-39).

As at 31 March 2019, **75.0%** of staff had declared their ethnicity. Of these, **9.6%** (3,801) were in a Black, Asian or Minority Ethnic (BAME) group. There were some differences between the groups within the BAME category, with **4.2%** of staff being from a Black background compared to **0.6%** of staff who declared as Other Ethnic. By grade, the lowest BAME representation was for operational managers bands 7-9 at **5.9% (46)**, a decrease of 0.4 percentage points compared to the previous year (**6.3%**).

**58.4%** of staff had declared their disability, which was below the threshold at which meaningful representation rates can be considered. Similarly, only **49.0%** of staff had declared their religion, and **49.3%** their sexual orientation. Although these declaration rates for 2018/19 have increased considerably since the previous year, it is not meaningful to consider representation rates while declaration rates remain below 60%.

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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.

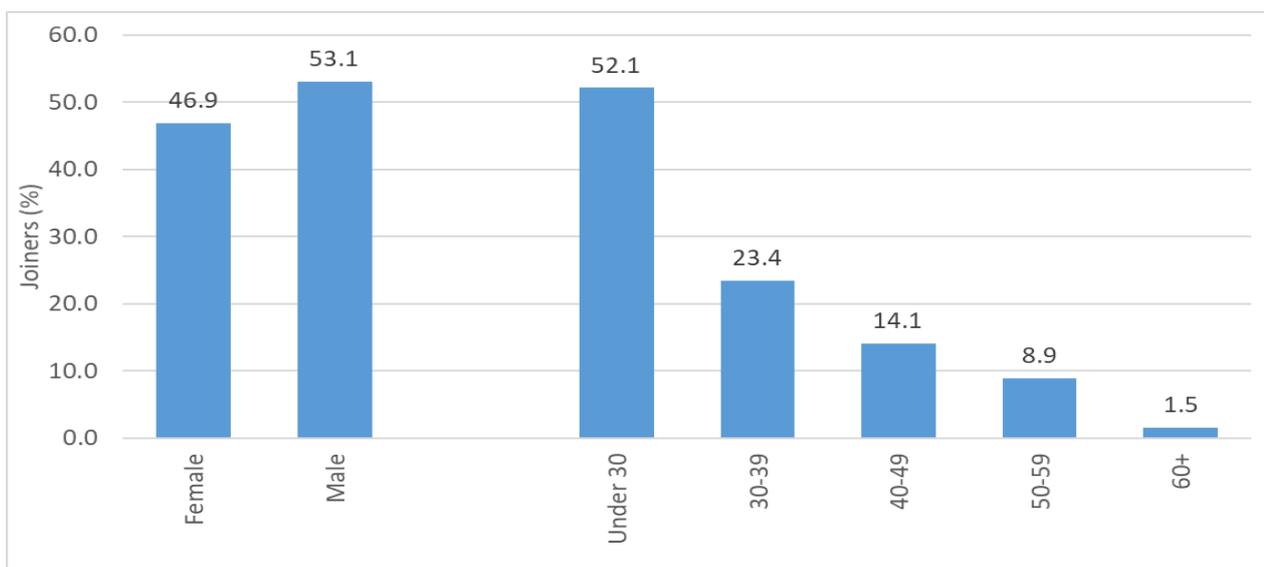
### 3. Joiners

**There were 8,474 new recruits to HMPPS in 2018/19, 586 more than in 2017/18 (7.4%).**

Females accounted for 46.9% of joiners and more than half of joiners (52.1%) were aged under 30 years old.

The number of staff appointed to HMPPS increased from 4,668 in 2015/16 to **8,474** in 2018/19. During 2018/19 HMPPS recruited **586** more staff than in 2017/18, an increase of **7.4%**. The largest group of recruits was to band 3 to 5 officers, with **4,745** appointed in the 12 months to 31 March 2019. This was primarily due to the recent government commitment of increasing prison officer numbers by 2,500 by the end of December 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 2018 to 31 March 2019**



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

Overall, **53.1%** of those who joined HMPPS were male and **46.9%** were female. This varied considerably by grade with band 3-5 officer joiners being largely male (**67.8%**), whereas the majority of non-operational joiners below management level were female (**66.6%**). Females also made up the vast majority of new recruits to NPS grades, both at management and below management level, accounting for **66.6%** and **74.2%** of new joiners respectively.

More than half of new joiners (**52.1%**, equivalent to **4,417** individuals) in 2018/19 were aged under 30 whilst **24.5%** (2,075) were aged 40 or older. Specifically, **60.5%** (2,870) of staff who joined as band 3-5 officers were aged under 30. As expected, there were higher proportions of joiners aged under 30 (at over **40%**) in below management roles, and a higher proportion of joiners aged 40 or over in managerial roles (**57.1%** of non-operational managers and **66.7%** of NPS managers).

**Race, disability, religion and sexual orientation are all self-declared, optional fields. Since the introduction of SOP in January 2017, there has been a 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. Although there has been a big increase in the declarations rates of joiners compared to last year, the declaration rates are still too low to allow meaningful analysis of new recruits by these protected characteristics.**

## 4. Temporary cover

**As at 31 March 2019, 2,817 staff (5.9%) were receiving temporary cover allowances.**

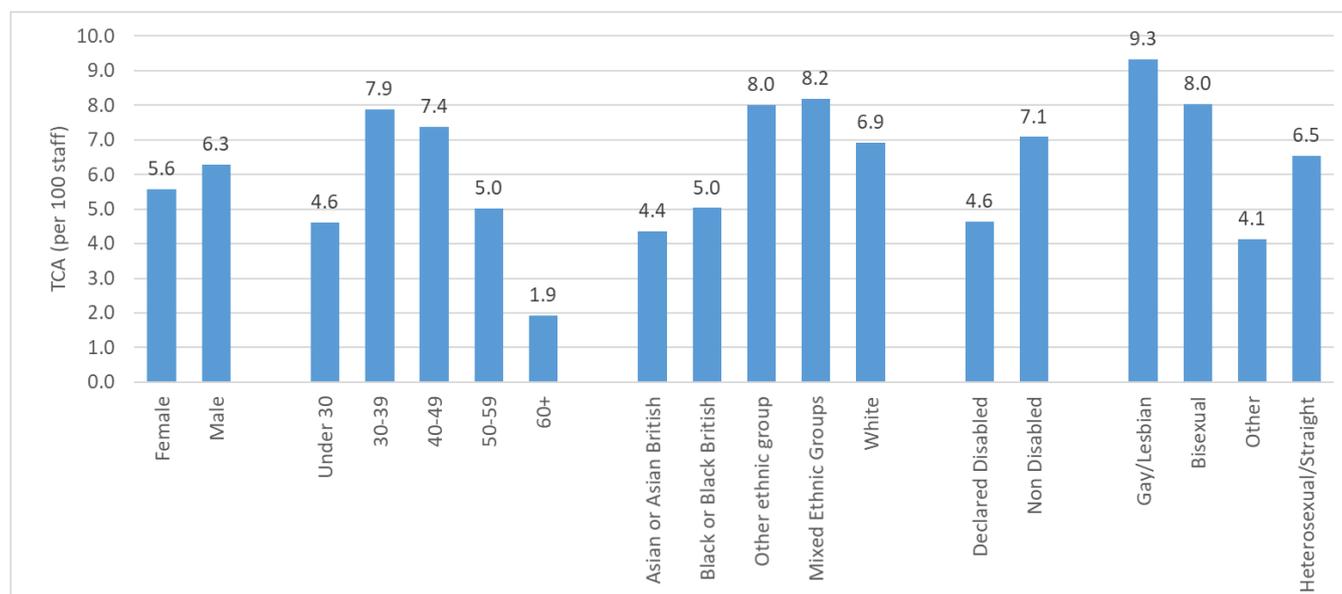
TCA rates were higher for males, those aged 30-39 years old, White staff, and those who declared themselves as LGB.

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. 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 based on 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.

In previous publications information on temporary cover in the NPS was not available. However, this year as from 2017/18 onwards, NPS staff on temporary promotion who were recorded as 'promotions' have now been reclassified correctly as staff receiving TCA. Therefore, figures for NPS staff on TCA are presented for the first time in the bulletin.

As at 31 March 2019, **2,817** staff were receiving Temporary Cover Allowances (TCA) for filling posts of a higher grade on a temporary basis. This represents **5.9%** of staff, an increase from **5.7%** 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 2019**



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

As at 31 March 2019, **5.6%** of females were on temporary cover, compared to **6.3%** of males. In the previous year, the proportion of both males and females on temporary cover was slightly lower (at 5.3% and 6.1%, respectively). Males had higher rates of TCAs in operational roles (operational managers and officers) whereas in non-operational and NPS grades females had higher rates of TCAs than men. There were differences in the gender balance by grade group, most notably for non-operational below managers (**4.6%** of females and **3.3%** of males were on TCA) and non-operational managers (**7.6%** of females and **6.3%** of males were on TCA).

Temporary cover payments were most prevalent amongst those aged 30 to 39 and 40 to 49 (**7.9%** and **7.4%** respectively), compared to **4.6%** of under 30s, **5.0%** of 50 to 59 year olds, and **1.9%** of aged 60 or over.

As at 31 March 2019, **5.6%** of BAME staff were receiving temporary cover payments compared to **6.9%** of White staff. Last year, 6.6% of BAME staff and 7.5% of White staff were on temporary cover. Numbers within the BAME subset groups were low, so some caution is advised when viewing rates. However, within the BAME category, staff who declared as Mixed Ethnic group had the highest rate of receiving TCAs at **8.2%**.

The proportion of staff receiving temporary cover allowances was lower amongst disabled staff compared to non-disabled (**4.6%** and **7.1%** respectively as at 31 March 2019).

As at 31 March 2019, **8.6%** of LGB (Lesbian, Gay, Bisexual and Other) staff were receiving temporary cover payments, compared to **6.5%** of Heterosexual staff. Within the LGB subset groups **9.3%** of those who self-declared as Gay/Lesbian were receiving TCA, an increase of **1.3** percentage points since the previous year.

Declaration rates for religion were too low for any meaningful analysis to be carried out.

## 5. Promotions

In 2018/19, 5.2% of permanent staff were promoted, an equivalent of 2,644 promotions.

The rate of promotions was higher for: females (even across all grade groups), those aged 30-39 years old, White, and non-disabled staff.

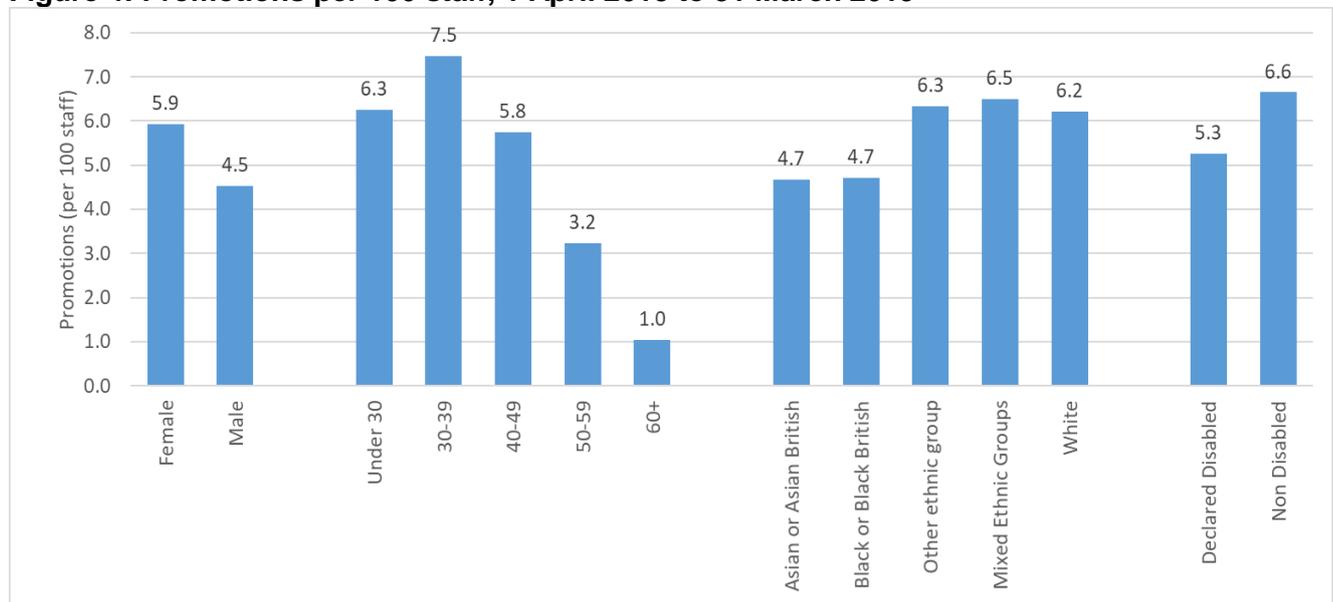
Promotions relate to staff moving to a more senior grade through an internal process. Operational Support Grade staff who convert to become prison officers are known as ‘conversions’ and not defined as promotions and so this specific grade change does not appear in this report. Promotions are reported 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.

As of this year, from 2017/18 onwards NPS staff on temporary promotion who were recorded as ‘promotions’ have now been reclassified correctly as staff receiving TCA rather than promoted. The number of NPS staff promoted therefore will be lower – such that the total number of NPS promotions in 2017/18 has been revised from 631 to 389.

In 2018/19, 5.2% of staff were promoted (the equivalent of 2,644 promotions within the year), a slight decrease from the rate of 5.3% (2,683 promotions) in 2017/18.

The rate of promotions, which represents the number of individuals promoted per 100 staff, in 2018/19 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 2018 to 31 March 2019**



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

The promotion rate for female staff was higher in 2018/19 at 5.9% (1,432) than for males at 4.5% (1,212). Over the past 4 years, promotion rates have been consistently higher among female staff compared to male staff. The rates of promotions were higher among females than males in all grades in 2018/19.

The rate of promotions generally declines as the age of staff increases. In 2018/19, staff aged 30-39 had the highest rate of promotion at **7.5%** of staff in post compared to **3.2%** for the 50-59 age group and **1.0%** for staff over 60.

In the 12 months ending 31 March 2019, BAME staff had a lower promotion rate at **5.1%** than White staff at **6.2%**. Within the BAME groups, those identifying as Mixed Ethnic had the highest rate at **6.5%**. In relation to grades for 2018/19, BAME staff had lower promotion rates than White staff across all grades apart from non-operational managers and NPS below management grades, where the rates of promotion were the same for BAME and White staff (**8.5%** for non-operational managers and **4.5%** for NPS below management grades).

In 2018/19, the rate of promotion between staff who declared themselves disabled was lower than that of non-disabled staff, at **5.3%** and **6.6%** respectively.

The declaration rates among promotions for religion and sexual orientation were both below the 60% threshold at which meaningful interpretation can be made.

## 6. Staff Appraisals

In 2018/19, 38,099 HMPPS staff received an appraisal rating. Of these, 16.1% were awarded ‘Outstanding’ and 1.9% were awarded ‘Improvement required’ appraisal ratings. 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.

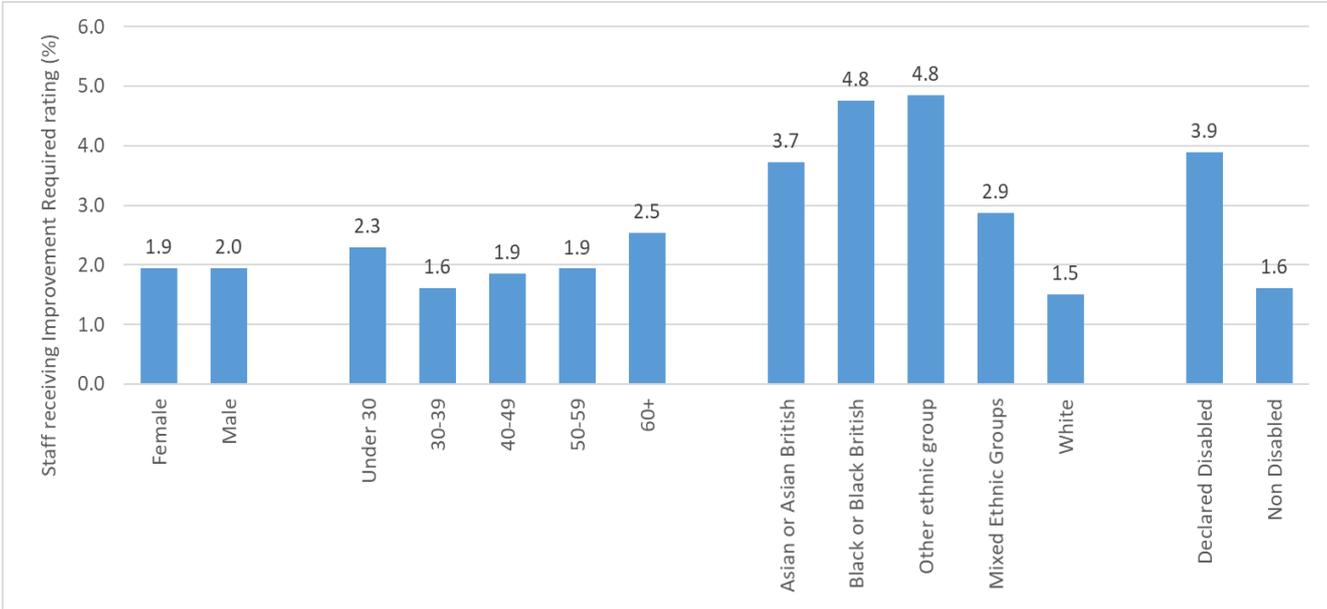
In HMPPS the system of staff appraisals is called the ‘Staff Performance and Development Record’. There is an annual cycle of appraisals and marks are awarded at the mid-year and then the end-year. It is the end-year markings that are analysed in this report. Further detail on appraisal ratings can be 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 2018/19, 38,099 HMPPS staff received an appraisal rating. Of these, 1.9% were awarded ‘Improvement required’, 82.0% were awarded ‘Good’ and 16.1% were awarded ‘Outstanding’ ratings. The corresponding figures for 2017/18 for the 34,291 staff who received an appraisal rating were 2.1% ‘Improvement required’, 81.6% ‘Good’ and 16.2% ‘Outstanding’.

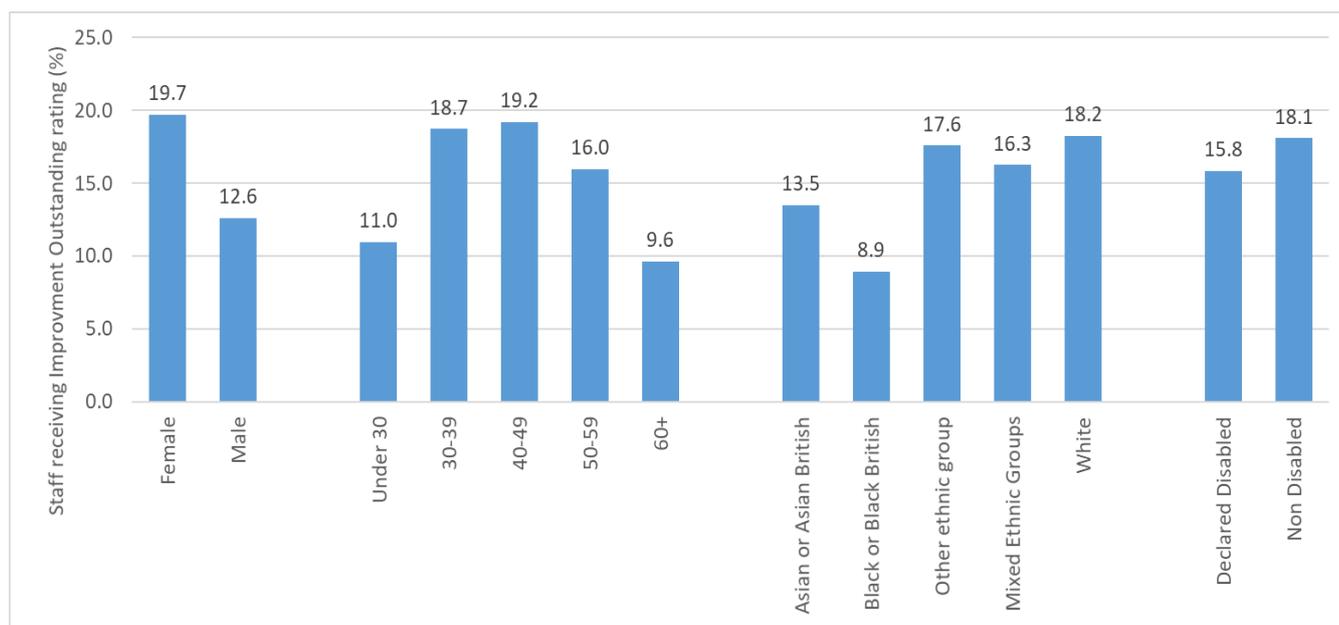
Figures 5 and 6 show the percentage of staff receiving ‘Improvement required’ and ‘Outstanding’ appraisal ratings respectively in 2018/19, split by protected characteristic.

**Figure 5: Percentage of staff receiving ‘Improvement Required’ appraisal rating 2018/19**



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

**Figure 6: Percentage of staff receiving ‘Outstanding’ appraisal rating, 2018/19**



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

In 2018/19, a similar proportion of females (**1.9%**) and males (**2.0%**) received ‘Improvement required’ appraisal ratings. Female staff were, however, awarded a higher proportion of ‘Outstanding’ markings, **19.7%** compared to **12.6%** of male staff. The proportion of staff who received ‘Outstanding’ ratings was higher among female staff than male staff across all grade groups, although the scale of this difference varied. Conversely, the proportion of staff who received ‘Improvement required’ ratings was lower among female staff than male staff across the grade groups, apart from OSGs where the proportion was very similar (1.1% and 1.0% for females and males, respectively).

The proportion of staff receiving ‘Improvement required’ varied with age in 2018/19, it was lowest for staff aged 30-39 at **1.6%** and highest for those aged 60 and over at **2.5%**. A similar pattern was seen in previous years.

The proportion of staff receiving ‘Outstanding’ ratings in 2018/19 also varied with age. 11% of staff aged under 30 received an ‘Outstanding’ rating, this proportion then increased to **18.7%** for staff aged 30-39 before decreasing with age to **9.6%** of staff aged 60 and over. Again, a similar pattern was seen in previous years.

In 2018/19, a higher proportion of BAME staff received ‘Improvement required’ ratings (**4.1%**) compared to White staff (**1.5%**). The proportions of ‘Improvement required’ were highest for Black staff and Other ethnic group staff (**4.8%**).

BAME staff also had worse outcomes than their White counterparts in terms of ‘Outstanding’ markings awarded. In 2018/19, **12.3%** of BAME staff received an ‘Outstanding’ marking compared to **18.2%** of White staff. The proportions of staff receiving ‘Improvement required’ ratings were highest among Black staff and Other Ethnic Group staff, both at **4.8%**. The proportion of staff receiving ‘Outstanding’ markings was lower among Black staff (**8.9%**) than any other group.

There were substantial differences in the overall pattern of appraisal markings awarded according to grade level. The pattern of worse outcomes for BAME staff persists across all grades except for operational managers, where **42.6%** of BAME staff received an 'Outstanding' marking compared to **34.9%** of White staff, and OSGs, where **5.5%** of BAME staff received an 'Outstanding' marking compared to **4.9%** of White staff.

The declaration rate for disability status exceeded the 60% threshold in 2018/19, where **3.9%** of staff declared as disabled received 'Improvement required' ratings, higher than the **1.6%** of staff declared non-disabled. At the same time, for 2018/19 the proportion of disabled staff receiving the 'Outstanding' rating was **15.8%**, 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.

## 7. Special bonuses

**The rate of special bonuses awarded to staff in 2018/19 was 3.0 per 100 staff.**

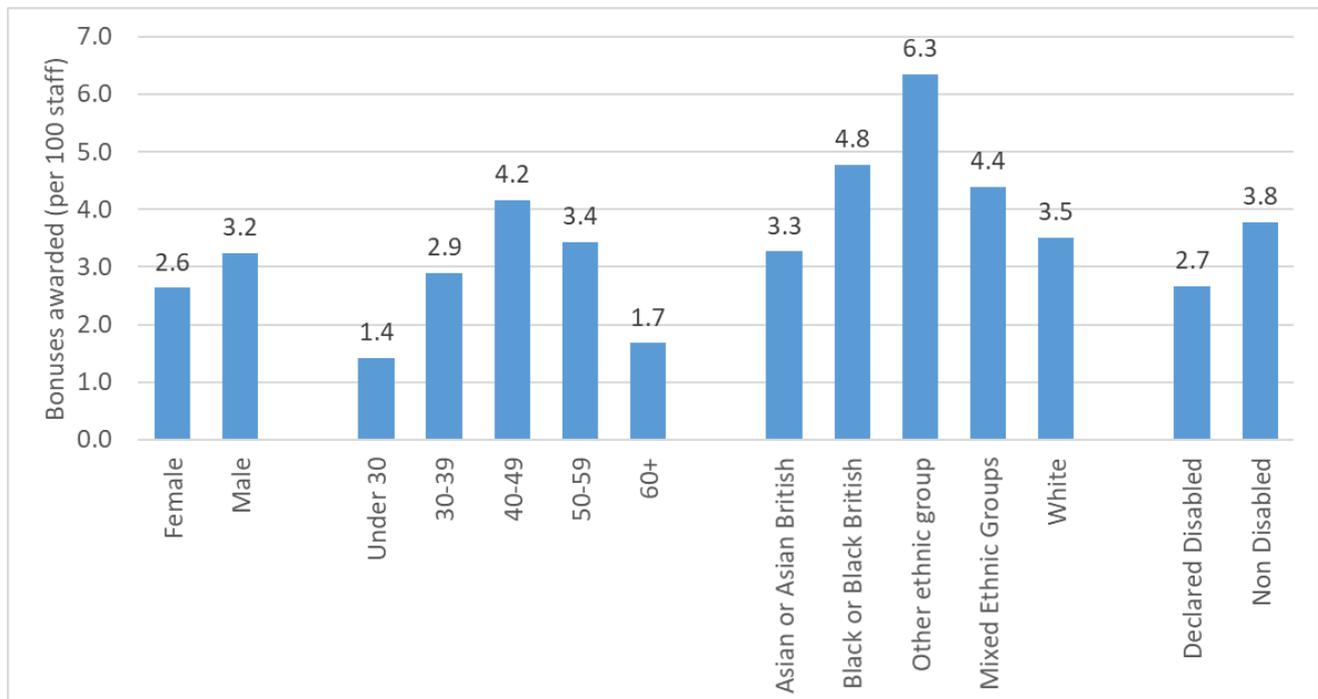
The rate of bonuses awarded was higher for; Males (at 3.2 per 100 staff) compared to their female counterparts (2.6 per 100 staff), BAME staff (at 4.3 per 100 staff) compared to white staff (at 3.5 per 100 staff), and non-disabled staff (at 3.8 per 100 people) compared to disabled staff (at 2.7 per 100 people).

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 up to £20,000 with CEO approval). The rate of special bonuses awarded to staff in 2018/19 at **3.0** per 100 staff was lower than the rate awarded in 2017/18, **4.0** per 100 staff. The average value of the awards also decreased slightly from **£919** in 2017/18 to **£915** in 2018/19.

The rate of bonuses awarded was higher for operational managers, **25.7** per 100 staff, compared to the more junior operational positions of band 3-5 officers at **2.7** per 100 staff, and OSGs at **0.4** per 100 staff. A similar difference can be seen for non-operational grades. NPS grades had fewer special bonuses awarded in 2018/19 than the rest of HMPPS.

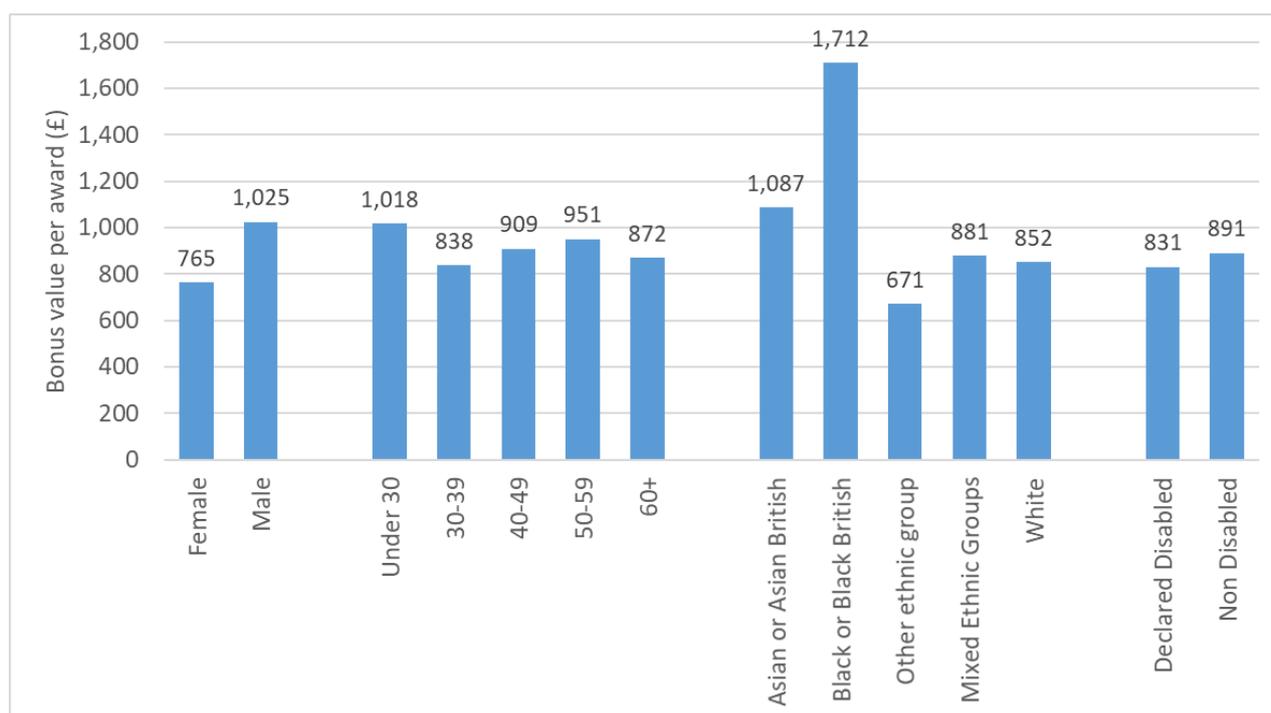
The rate of bonuses awarded (i.e. the number of bonuses awarded per 100 staff) and the average value per award across protected characteristics are illustrated in figures 7 and 8 below, and can be viewed in tables 6a, 6b(i) and 6b(ii).

**Figure 7: Special bonuses awarded per 100 staff, 1 April 2018 to 31 March 2019**



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

**Figure 8: Average value of special bonuses awarded, 1 April 2018 to 31 March 2019**



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

The rate of special bonuses awarded in 2018/19 was higher for males at **3.2** per 100 staff than for females at **2.6** per 100 staff. The average value of the bonuses was also higher for males who received an average of **£1,025** compared to females who received an average of **£765**. The rate of special bonuses awarded was higher for males than females across all grades except for the non-operational below managers and NPS manager grades.

In 2018/19, staff in the **40-49** age group had the highest rate of bonuses awarded at **4.2** per 100 staff, followed by staff aged 50-59 at **3.4** per 100 staff. Staff aged under 30 had the lowest rates of bonuses at **1.4** per 100 staff, but had the highest average value of awards at **£1,018**. The average value per award for the other age groups ranged from **£838** for those aged 30-39 to **£951** for staff aged 50-59.

In 2018/19, the rate of bonuses awarded to BAME staff was higher compared to White staff (**4.3** compared to 3.5 per 100 staff respectively), and the average value of bonuses awarded was also higher with an average of **£1,108** for BAME staff and **£916** for White staff. There were 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. Staff who declared themselves as 'other ethnic group' were awarded the most bonuses at a rate of **6.3** per 100 staff but had the lowest average value at **£671**. In contrast, Black staff were awarded a lower number of bonuses at a rate of **4.8** per 100 staff, but had the highest average bonus value at **£1,712**.

The rate of bonuses awarded in 2018/19 to those who declared as disabled was **2.7** per 100 staff, compared to **3.8** per 100 staff for non-disabled staff. Moreover, the average value of these awards was lower for those declared disabled at **£831**, compared to non-disabled at **£891**.

The declaration rates for special bonuses for the characteristics of religion and sexual orientation for 201/19 were both below the threshold at which meaningful interpretation can be made.

## 8. Grievances

**In 2018/19, 822 staff raised grievances, resulting in 957 cases. Of these cases, 41.0% were upheld/partially upheld.**

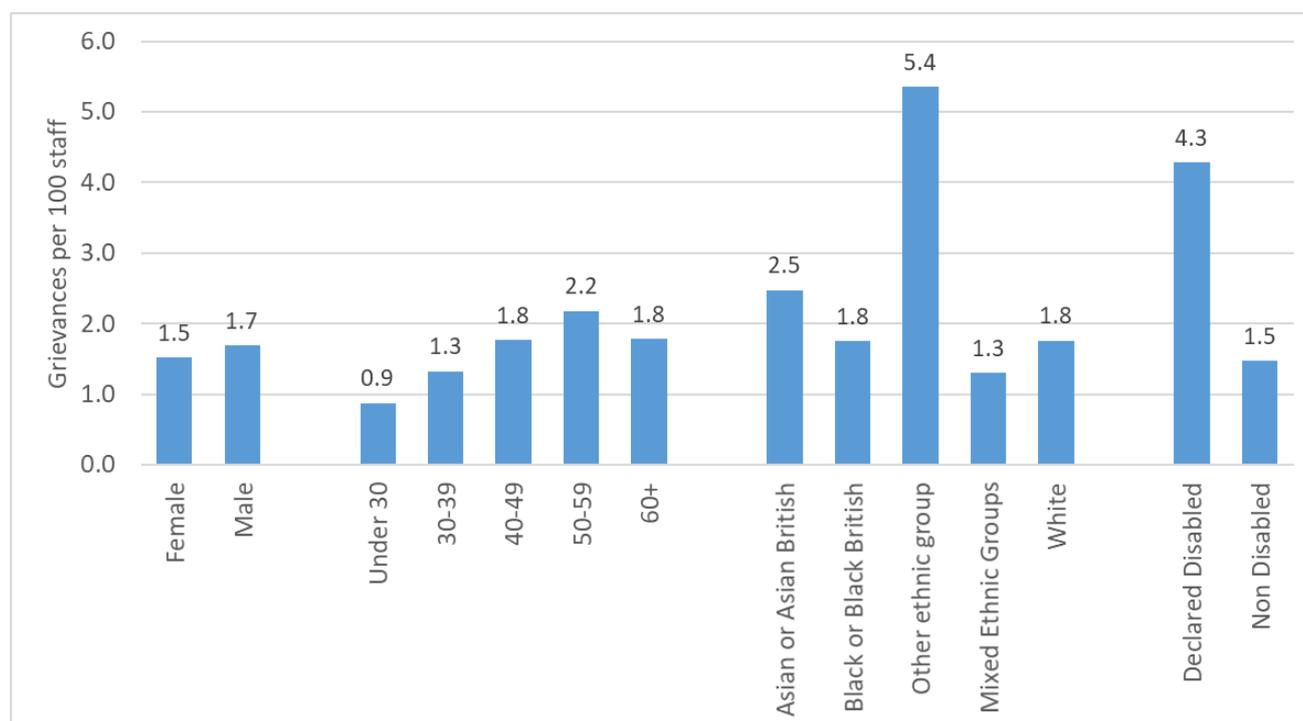
The raising of grievances was higher for: Male staff (at 1.7 per 100 staff ) compared to female staff (at 1.5 per 100 staff), BAME staff (at 2.1 per 100 staff) compared to White staff (at 1.8 per 100 staff), and disabled staff (at 4.3 per 100 staff) compared to non-disabled staff (at 1.5 per 100 staff).

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. Grievances resolved locally or through mediation are not recorded centrally. Further details on grievances can be found in tables 7a, 7b(i) and 7b(ii).

In 2018/19, there were **822** staff who raised grievances, resulting in **957** cases. Of these cases, **41.0% (392 cases)** were upheld or partially upheld, an increase of **2.7** percentage points compared to the previous year. The overall figure for the number of grievances raised in 2018/19 represented **1.6** per 100 staff, slightly down on 2017/18 (1.9 per 100 staff). Across grade breakdowns, non-operational below management grades had the highest rate in terms of raising a grievance at **2.1** per 100 staff.

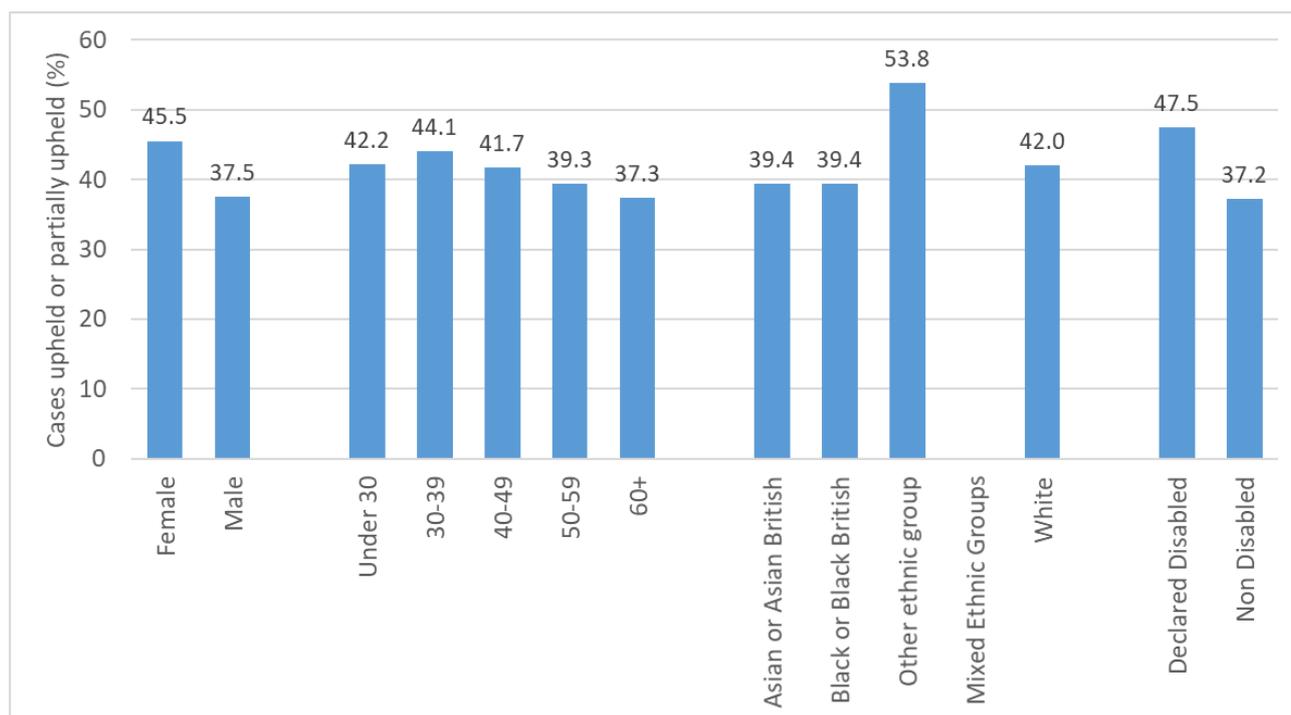
Figures 9 and 10 show the rate per 100 staff raising grievances and the percent of cases upheld or partially upheld, split by protected characteristic.

**Figure 9: Number of staff per 100 staff raising grievances, 1 April 2018 to 31 March 2019**



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

**Figure 10: Percent of cases upheld or partially upheld, 1 April 2018 to 31 March 2019**



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

Overall, female staff raised fewer grievances in 2018/19, at a rate of **1.5** per 100 staff, than males, **1.7** per 100 staff. This was also seen across the various grades apart from band 3-5 officer and OSGs where female staff had a higher rate of grievances raised than male staff. The largest difference between rates of female and male staff who a raised grievance was for the non-operational below manager group (at **1.8** and **2.7** per 100 staff respectively). The percentage of cases upheld or partially upheld in 2018/19 was higher for females (**45.5%**) than for males (**37.5%**).

In 2018/19, there was a tendency for the rate of grievances to increase with age from **0.9** per 100 staff for staff aged under 30, to **2.2** per 100 staff for staff aged 50-59, but dropped to **1.8** per 100 staff for staff aged 60 and over. The proportion of cases upheld or partially upheld ranged from **37.3%** and **44.1%** across the age groups.

The overall rate of grievances raised per 100 staff was higher amongst BAME staff compared to White staff, at **2.1** per 100 and **1.8** per 100 staff respectively. The percentage of cases upheld or partially upheld was higher for White staff at **42.0%** compared to BAME staff at **39.8%**.

Overall, self-declared disabled staff raised more grievances at a rate of **4.3** per 100 staff than non-disabled staff, at **1.5** per 100 staff. Considering grades where numbers are large enough to disclose, this pattern was seen across all grades.

Declaration rates for religion and sexual orientation in 2018/19 were again too low for any meaningful analysis to be carried out.

## 9. Investigations and Conduct & Discipline cases

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**In 2018/19, the overall rate of investigations was 2.8 per 100 staff.** The rate was higher amongst; Male staff (at 3.8 per 100 males) compared to female staff (at 1.6 per 100 females), BAME staff (at 2.8 per 100 staff) compared to White staff (at 2.7 per 100 staff), and those under 30 (at 3.6 per 100 staff) compared to staff in other age bands.

**In 2018/19, the overall rate of conduct & discipline cases was 1.2 per 100 staff.** The rate was higher for; Male staff (at 1.6 per 100 male staff) compared to female staff (at 0.7 per 100 female staff) and BAME staff (at 1.3 per 100 staff) compared to White staff (at 1.2 per 100 staff).

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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.

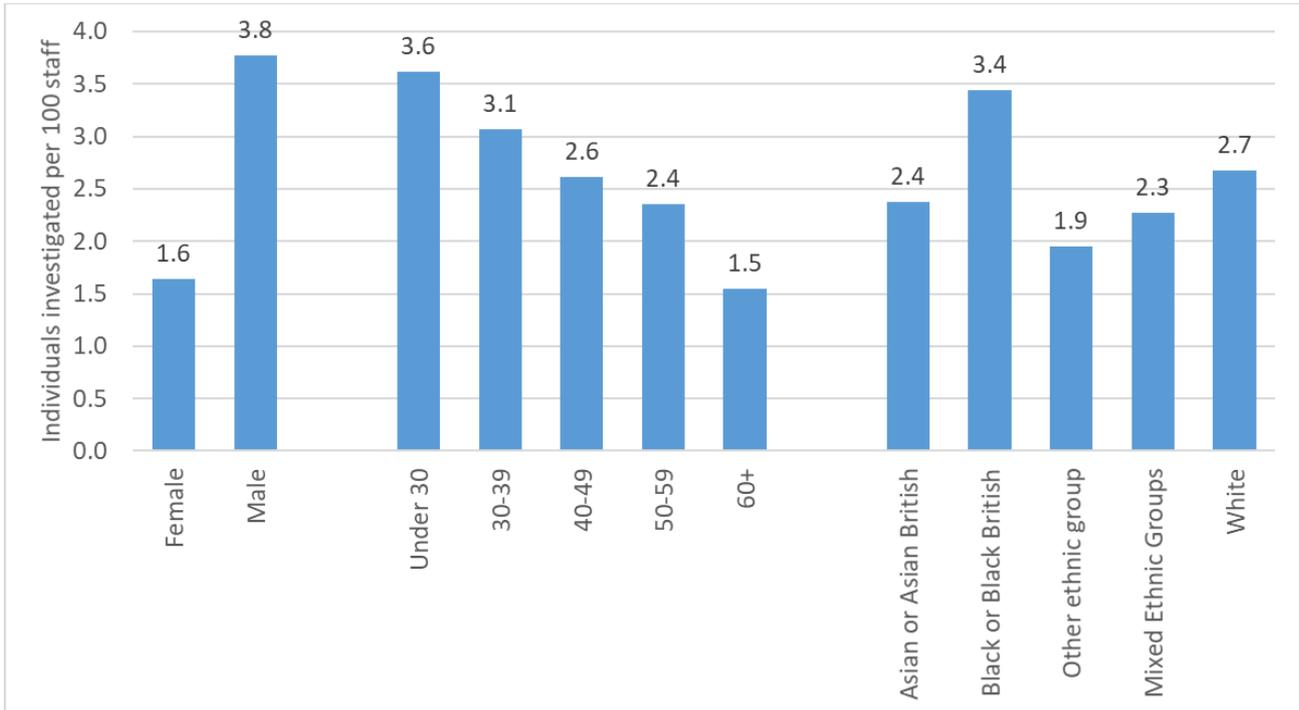
Further details on investigations and conduct and discipline cases can be found in tables 8a, 8b(i) and 8b(ii), and 9a, 9b(i) and 9b(ii).

In 2018/19, **1,411** staff faced at least one investigation, representing a rate of **2.8** per 100 staff and an increase from the **2.5** for 2017/18. Of the **1,482** cases, **955 (64.4%)** had further action recommended. In 2018/19, band 3-5 officers had a higher rate of investigations than staff in other grades (**4.5** per 100 staff, with all other grades with a rate of **2.7** or below).

Overall, male staff were investigated at more than double the rate of female staff in 2018/19, at **3.8** per 100 males compared to **1.6** per 100 females. The rate of investigations for male staff was higher across all grades other than operational managers, where the rates were quite similar at **1.6** per 100 females, and **1.5** per 100 males. The percentage of cases with further action recommended, however, was higher for females at **68.4%** compared to **62.9%** for males. This represents an increase from 2017/18 for females of **3.5** percentage points (from 64.9%) but a decrease of **2.6** percentage points (from 65.5%) for males.

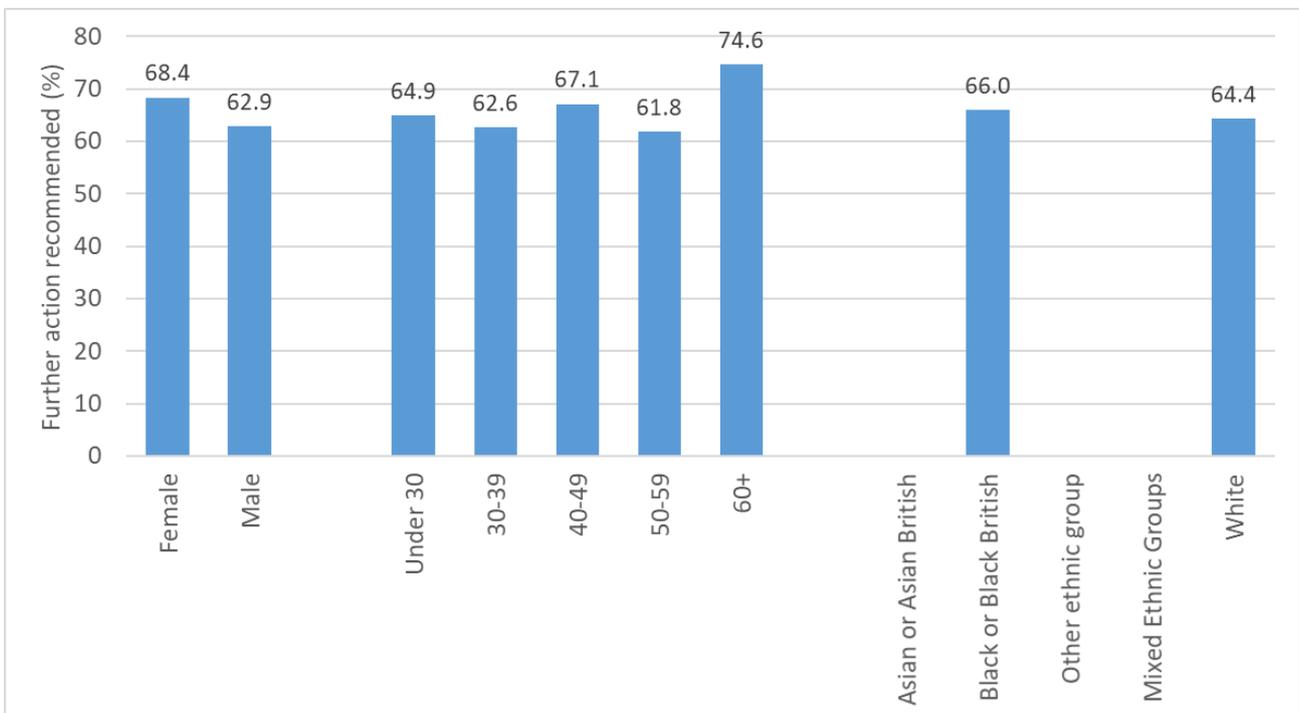
Figures 11 and 12 show the rates per 100 staff who were investigated in 2018/19 and the proportion of cases where further action was recommended, split by protected characteristic.

**Figure 11: Staff subject to at least one investigation per 100 staff in post, 1 April 2018 to 31 March 2019**



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 2018 to 31 March 2019**



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

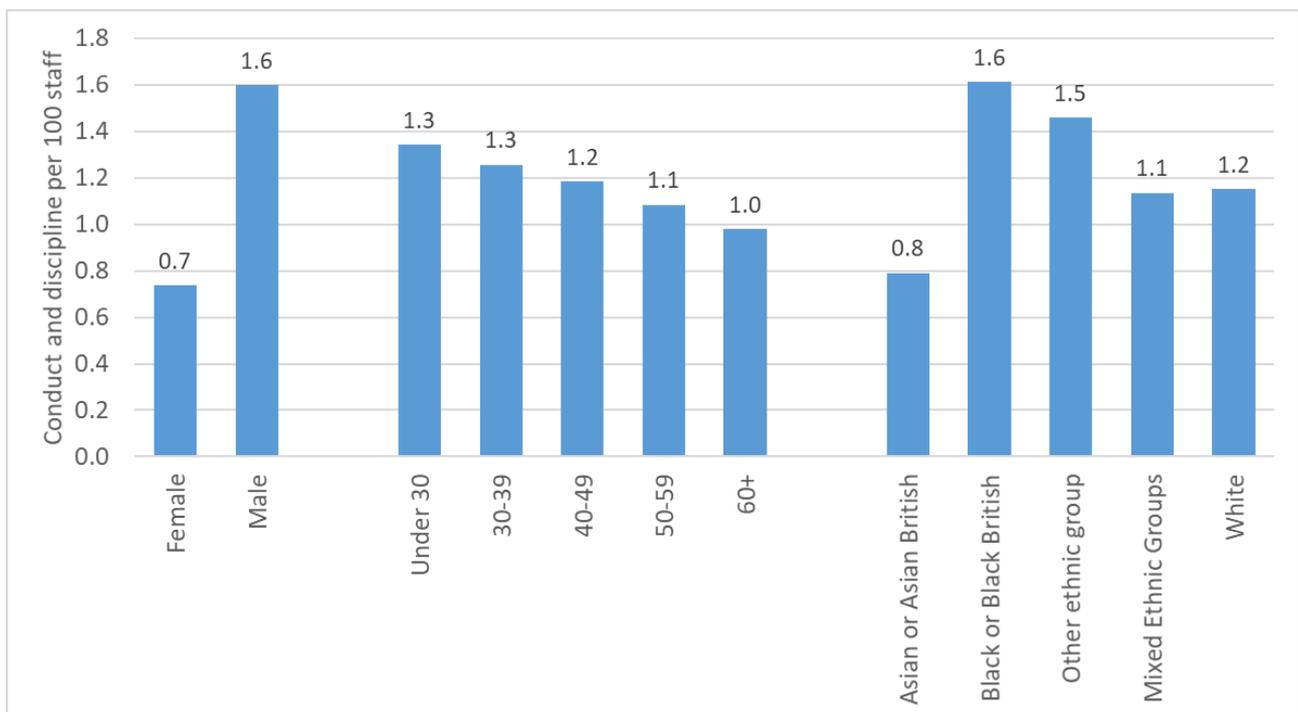
In 2018/19, there was a tendency for the rate of investigations to decrease with age from **3.6** per 100 staff for those aged under 30, to **1.5** per 100 staff aged 60 and over. The percentage of cases with further action recommended was similar for the age groups under the age of 60 (ranging from **61.8%** to **67.1%**), whereas this was higher among those aged 60 at **74.6%** (an increase of **11.1** percentage points from 2017/18).

The proportion of BAME staff investigated in 2018/19 was very slightly higher than the proportion of White staff investigated, **2.8** per 100 staff compared to **2.7**. The percentage of cases with further action recommended was lower for BAME staff (**61.5%**) than for White staff (**64.4%**), both slightly lower than their respective 2017/18 figures of **64.0%** and **65.0%**.

There were **608** staff subject to conduct and discipline action who were given a disciplinary penalty in 2018/19, a rate of **1.2** per 100 staff. There was a total of **624** conduct cases and of these **20.7%** resulted in the penalty of dismissal<sup>2</sup>. The rate of conduct cases was highest amongst band 3-5 prison officers at **1.8** per 100 staff.

Figures 13 and 14 show the rates per 100 staff who were subject to conduct and discipline action and the proportions of conduct cases leading to dismissal in 2018/19, split by protected characteristics. The patterns mirror those found for investigations due to the close connections of the two processes.

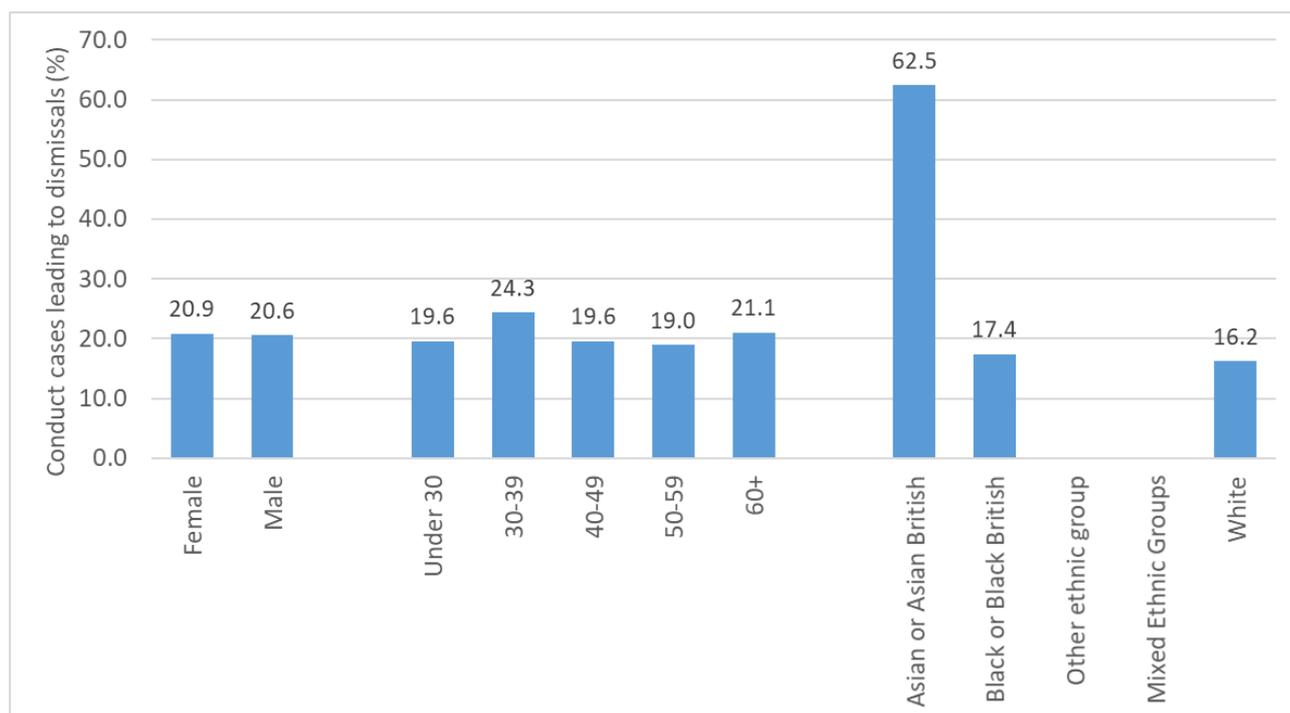
**Figure 13: Staff per 100 staff subject to conduct and discipline action, 1 April 2018 to 31 March 2019**



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

<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 14: Percentage of conduct cases leading to dismissal, 1 April 2018 to 31 March 2019**



*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 **0.7** per 100 female staff. However, the proportions of cases resulting in dismissal were similar between female and male staff (**20.9%** and **20.6%** respectively).

The number of staff subject to conduct and discipline action in 2018/19 did not vary greatly with age, ranging from **1.3** per 100 staff aged under 30, to **1.0** per 100 staff aged over 60. In 2018/19, the percentage of conduct cases leading to dismissal ranged from **19.0%** for staff aged 50-59 to **24.3%** for staff aged 30-39.

In 2018/19, a slightly larger proportion of BAME staff, **1.3** per 100 staff, were subject to conduct and discipline action than White staff, **1.2** per 100 staff. The percentage of dismissals resulting from conduct cases was also higher for BAME staff at **29.3%** compared to White staff at **16.2%**.

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.

## 10. Sickness absence

**In 2018/19, HMPPS staff lost an average of 9.3 working days due to sickness, a 0.2 percentage point increase compared to 2017/18.**

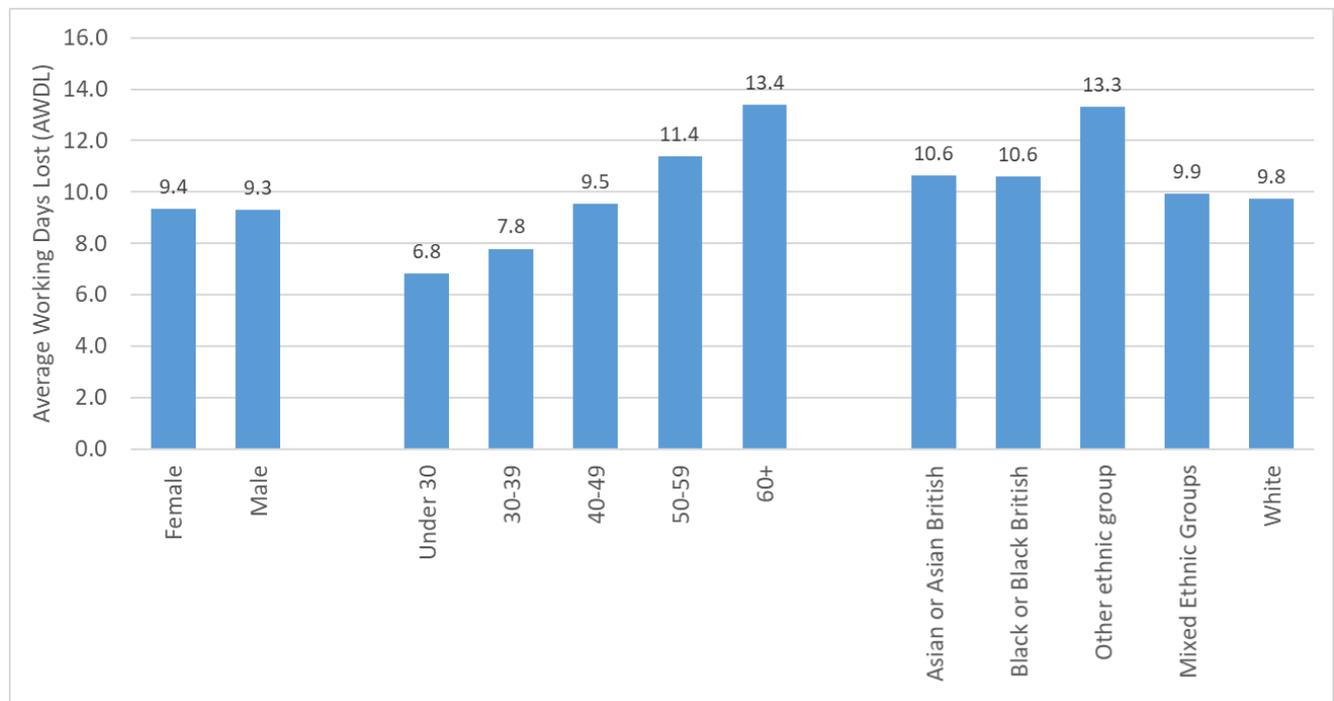
The average working days lost due to sickness was slightly higher for female than for male staff (9.4 and 9.3 days respectively), increased with age (from 6.8 days for those under 30 to 13.4 days for those aged 60 or over), and was higher for BAME staff (10.6 days) compared to White staff (9.8 days).

Sickness absence is represented in this section by the average working days lost (AWDL) due to sickness per employee per year. In 2018/19, the AWDL due to sickness absence was **9.3**, a **0.2** percentage point increase from 9.2 in 2017/18. 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 the 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 2018/19, the average working days lost to sickness absence was slightly higher for female staff at **9.4** days, than for male staff at **9.3** days. The average working days lost to sickness absence was higher for females than for males across all operational grades but not in non-operational grades and NPS below management grades.

Figure 15 illustrates the AWDL in 2018/19 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 2018 to 31 March 2019**



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

In 2018/19, the average working days lost to sickness absence increased with age. Under 30s had the lowest AWDL at **6.8** days, rising through each age group to the over 60s who had the highest AWDL at **13.4**. This pattern was seen across all staff positions apart from band 3-5 officers of which the 50-59 age group had the highest AWD (**12.6** days).

In 2018/19, 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; **11.1** for NPS staff below management grade, **10.1** for band 3-5 prison officers and **9.8** for OSGs.

In 2018/19, the AWDL was **10.6** days for BAME staff and **9.8** days for White staff. There were some differences in the AWDL between the groups within the BAME category, with other ethnic staff having the highest rate of **13.3**, followed by both Black and Asian staff at **10.6** and Mixed ethnic staff at **9.9**. Compared to 2017/18, there was an increase in the AWDL among White staff at **0.3** percentage points and an increase for BAME staff of **1.0** percentage point. By grade, in the 12 months ending 31 March 2019, the AWDL rate was higher for BAME staff in all staff positions, apart from OSGs (**10.4** AWDL for White staff compared to **9.7** for BAME staff) and non-operational below managers (**8.1** AWDL for White staff compared to **7.7** for BAME staff).

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

## 11. Leavers

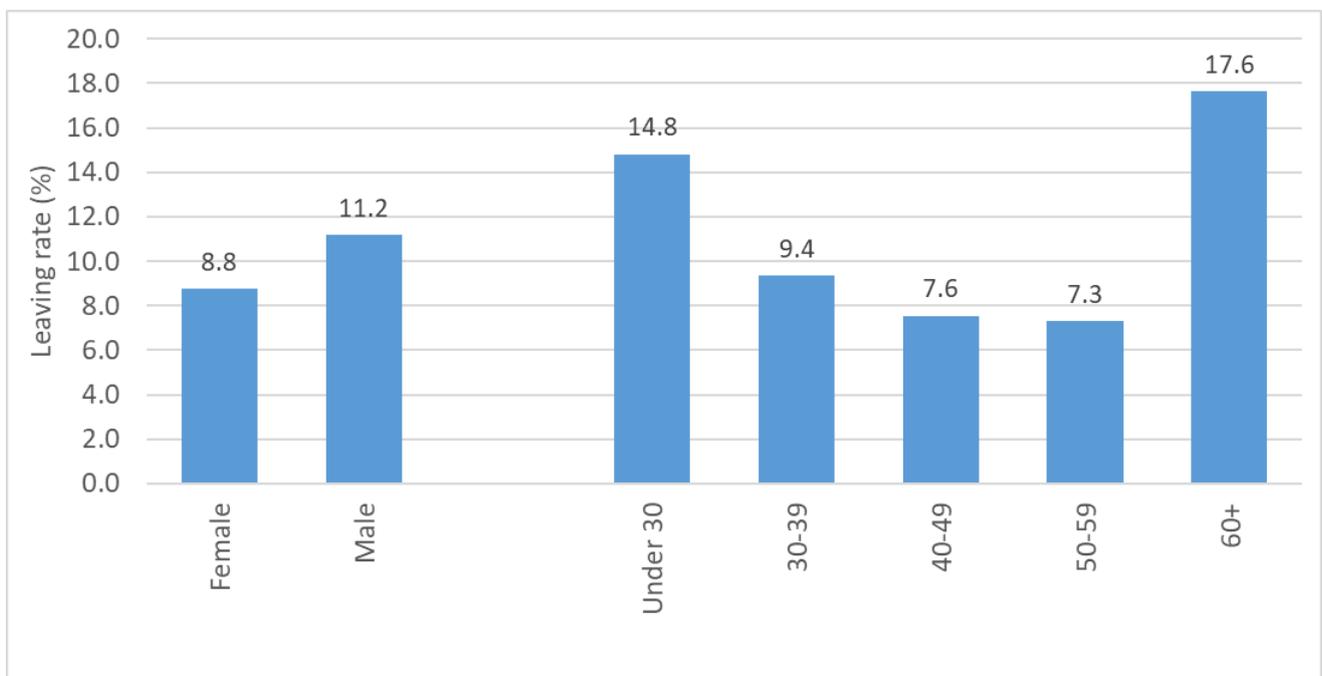
In 2018/19, the leaving rate of HMPPS staff was **10.0%**, an increase of **1.0 percentage point** since 2017/18.

Leaving rates were higher amongst male staff (11.2%) compared female staff (8.8%). By age, the highest leaving rate was for those aged 60 and over (17.6%), followed by those aged under 30 (14.8%).

In the 12 months ending 31 March 2019, **5,113** permanent staff (headcount) left HMPPS. The leaving rate stood at **10.0%**, representing an increase of **1.0 percentage point** from the previous year's rate of 9.0%. The rates presented include retirement, but exclude voluntary exits under the Voluntary Early Departure Scheme and redundancies (VEDSR).

Leaving rates for each protected characteristic are shown in figure 16. Further details on leavers can be found in tables 11a to 11c.

**Figure 16: Permanent staff leaving rates (excluding VEDSR), 1 April 2018 to 31 March 2019**



Note: BAME, 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 2019 at **8.8%** than the rate for male staff at **11.2%**, an increase of **0.8** and **1.2** percentage points respectively. The difference in leaving rates between males and females were smaller in the previous three financial years.

Operational below management grades had the largest leaving rates; OSGs had a leaving rate of **11.8%**, an increase from 9.7% in 2017/18, and band 3-5 officers had a leaving rate of **11.5%**, an increase from 10.3% in 2017/18.

Considering gender splits of leaving rates by grade group, in 2018/19, OSGs and band 3-5 officers had the highest leaving rates of **11.8%** and **11.5%**, respectively. OSGs also had a larger gender difference with the rate for male leavers at **12.8%** compared to **10.7%** for females.

Leaving rates for both operational and non-operational managers were lower in general than for other grades, and were the only grades where the leaving rates were higher for females than males.

Within NPS grades, managers had lower leaving rates than staff below manager grades, but the leaving rates for females were lower than for males in both cases – **3.9%** compared to **5.4%** for NPS managers, and **8.2%** and **10.0%** for NPS below management grades.

As leaving rates include retirement, it would be expected that those aged 60 and over would have the highest leaving rates. Accordingly, the leaving rate for those aged 60 and over was by far the highest at **17.6%** in the 12 months to 31 March 2019, consistent with previous years although a decrease of 3.2 percentage points compared to the previous 12 months. Those aged under 30 and 30-39 had leaving rates of **14.8%** and **9.4%**, which were increases of 1.3 and 1.7 percentage points compared to the 12 months to 31 March 2018 respectively.

Declaration rates among leavers for ethnicity in 2018/19 dropped below the 60% threshold at which meaningful consideration can be made for the first time in the past 4 years. Declaration rates for disability, religion and sexual orientation are also below the level at which meaningful consideration can be made for these protected characteristics.

## 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.

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**Next update: 26 November 2020**

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