



**HM Revenue
& Customs**

Race Equality

Employment Duty Monitoring Report 2007 to 2008

Contents

Item	Page
List of Appendices	2
Content of Appendices	3
1. Context	5
2. Ethnicity declaration data.....	5
3. BME representation in HMRC	7
3.05 People leaving HMRC	8
3.07 New Entrants to HMRC	9
4. Applicants for employment	9
5. Applicants and recipients of promotion.....	11
6. Filling Vacancies in Senior Management grades.....	12
7. External recruitment, and internal promotion, to SCS	15
8. Appraisal.....	17
9. Grievance and Disciplinary procedures	19
9.02 Grievance procedures	19
9.05 Disciplinary procedures	19
10. Training.....	20
11. Key Actions to maintain progress	21
12. Contact point for further enquiries	22

List of Appendices

Appendix 1	Tables 1- 10	Staff in Post	23
Appendix 2	Tables 11- 15	Staff who left HMRC	31
Appendix 3	Tables 16 - 19	New Entrants to HMRC	33
Appendix 4	Tables 20 - 21	Applicants for Employment	35
Appendix 5	Tables 22 -29	Applicants and recipients of promotion	37
Appendix 6	Tables 30 - 32	Appraisal Results	42
Appendix 7	Tables 33 - 34	Grievance procedures	52
Appendix 8	Tables 35 - 37	Disciplinary procedures	53
Appendix 9	Table 38	Applicants and recipients of training	54
Appendix 10	(a) (b) and c)	Intranet messages	54

Content of Appendices

Appendix 1 - Staff in Post

Table 1:	Breakdown of staff by all ethnic groups
Table 2:	Breakdown of Black and Ethnic Minority groups at 31 March 2008
Table 3:	Breakdown by main ethnic groups by grade
Table 4:	Breakdown by all ethnic groups by grade
Table 5:	Breakdown of White and BME staff in each grade
Table 6:	Breakdown by main ethnic groups, by Business Unit
Table 7:	Breakdown by all ethnic groups, by Business Unit
Table 8:	Breakdown by Government Office Region
Table 9:	Have the percentages of BME staff increased between 31 March 2007 and 31 March 2008?
Table 10:	Breakdown by known National Identity at 31 March 2008

Appendix 2 – Leavers

Table 11:	Breakdown by all ethnic groups
Table 12:	Breakdown by reason for leaving
Table 13:	Breakdown by grade
Table 14:	Were BME staff more likely to leave HMRC than White staff?
Table 15:	Analysis of leavers by grade

Appendix 3 – New Entrants to HMRC

Table 16:	Breakdown by all ethnic groups
Table 17:	Breakdown by grade
Table 18:	Breakdown by Government Office Region
Table 19:	Breakdown by all ethnic groups, by Government Office Region

Appendix 4 - Applicants for employment

Table 20:	External applicants for generalist (Grade AA to O) posts – breakdown by all ethnic groups
Table 21:	Graduate Recruitment Programme – breakdown by all ethnic groups

Appendix 5 – Applicants and recipients of promotion

Table 22:	Permanent Promotions – breakdown by all ethnic groups and by grade
Table 23:	How successful were BME staff at the Grade 7 Gateway?
Table 24:	Internal Applications for Grade 6 and 7 posts – breakdown by main ethnic groups and by Business Unit
Table 25:	Internal Applications for Grade 6 and 7 posts – breakdown by all ethnic groups and by Business Unit
Table 26:	Applications resulting in successful Promotions to Grade 6 and 7 (including those promoted through the Fast Stream Programme)- breakdown by main ethnic groups and by Business Unit
Table 27:	Applications resulting in successful Promotions to Grade 6 and 7 (including those promoted through the Fast Stream Programme)- breakdown by all ethnic groups and by Business Unit
Table 28:	SCS Leadership Gateway applicants– breakdown by Business Unit
Table 29:	SCS Leadership Gateway successful applicants– breakdown by Business Unit

Content of Appendices contd.

Appendix 6 – Appraisal

Table 30:	Breakdown by all ethnic groups
Table 31:	Breakdown by all ethnic groups, by grade (AA)
Table 31:	Breakdown by all ethnic groups, by grade (AO)
Table 31:	Breakdown by all ethnic groups, by grade (O)
Table 31:	Breakdown by all ethnic groups, by grade (HO)
Table 31:	Breakdown by all ethnic groups, by grade (SO)
Table 31:	Breakdown by all ethnic groups, by grade (Fast Stream)
Table 31:	Breakdown by all ethnic groups, by grade (Grade 7)
Table 31:	Breakdown by all ethnic groups, by grade (Grade 6)
Table 32:	Analysis of results

Appendix 7 – Grievance procedures

Table 33:	Grievance appeals – breakdown by all ethnic groups, by grade
Table 34:	Grievance appeals outcomes – breakdown by White and BME staff

Appendix 8 – Disciplinary procedures

Table 35:	Disciplinary referrals – breakdown by all ethnic groups and by type of referral
Table 36:	Disciplinary referrals – breakdown by main ethnic groups and by grade
Table 37:	Disciplinary referrals – breakdown by main ethnic groups and by Business Unit

Appendix 9 – Training

Table 38:	Training nominations satisfied – breakdown by all ethnic groups
-----------	---

Appendix 10 - Intranet Messages

Appendix 10(a)	Message to staff published on 1 October 2007
Appendix 10(b)	Follow-up message to staff published on 10 October 2007
Appendix 10(c)	Individual Business Unit Diversity Data reminder published in January 2008

HMRC Race Equality Duty: Employment Monitoring Report, 2007 to 2008

1. Context

1.01 This report presents ethnicity data relating to HMRC's

- Staff in post (paras 3.01 to 3.08)
- Staff who left our employment (para 3.05)
- Applicants for employment (paras 3.07 to 4.09)
- Applicants and recipients of promotion (paras 5.01 to 7.08)
- Appraisal results (paras 8.01 to 8.06)
- Staff involved in grievance or disciplinary procedures (paras 9.01 to 9.05)
- Applicants and recipients of training (paras 10.01 to 10.05)

We are required under Article 5 of the Race Relations Act 1976, to keep and monitor statistics analysed by racial group. This report covers the period 01 April 2007 to 31 March 2008.

1.02 Unless otherwise stated, results are given throughout the report as numbers and percentages **where ethnicity is known**. Paragraphs 2.01 to 2.10 report our actions to increase ethnicity declaration rates.

1.03 In the body of the report, tables and charts generally display results compared between 'White' and 'Total BME' (Black and Minority Ethnic) staff. The appendices contain more detailed breakdowns by ethnicity, grade, and business unit. Where our statistics specialists have carried out an analysis of key data, the results are included either in the main report or within the Appendices. Where the number of staff represented in the data is less than 5, we have used percentages to maintain confidentiality and anonymity.

1.04 Our ethnicity categories are the same as those of the 2001 Census for England and Wales except for the 'White' category for which there is one option, which is 'White-any white background.' For future reports we are considering whether or not to disaggregate the 'White' ethnic category into 3 options as per the 2001 census for England and Wales. However this may not go far enough as HMRC has staff across Great Britain and Northern Ireland. For that reason we also need to consider whether or not we should further disaggregate the 'White' category to take into account the full range of white categories which also includes those in the 2001 census for Scotland and the 2001 census for NI. We are currently liaising with Cabinet Office on this.

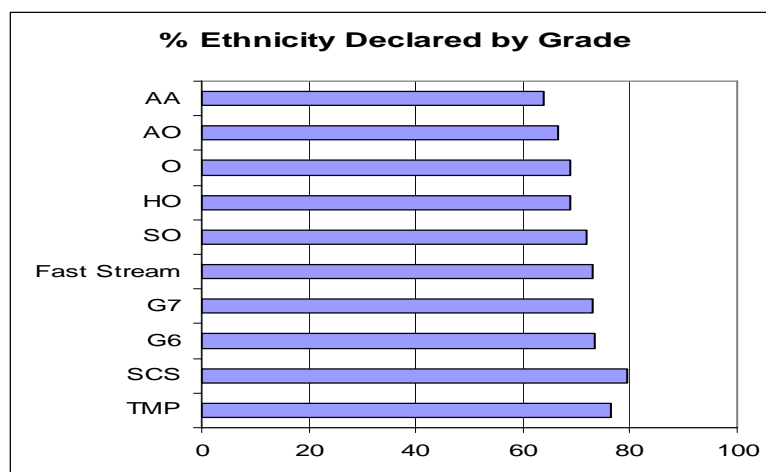
1.05 However, we need to balance the possible benefits of disaggregating against the negative impact which could result from asking staff to update their ethnicity declaration at the present time. Our priority is to increase ethnicity declaration levels across HMRC and we cannot risk any action which might jeopardise this.

2. Ethnicity declaration data

2.01 We are fully committed to collecting diversity data from all members of staff both to meet our legal obligations and to understand and respond to the diverse make-up of our staff. We encourage people to record the following information on our online HR system (including an option 'Choose not to declare'): Ethnic Origin, National Identity, Disability including type of disability, and from September 2008, Sexual Orientation.

2.02 The Nationality Identity options available to staff are: 'British or Mixed British', English, Irish, Scottish, Welsh, Other National Identity, Member of the Irish traveller community and 'Choose not to provide.' **See Table 10 page 30.**

- 2.03 HMRC staff ethnicity declaration rates have improved since the last report. Between 01 April 2007 and 01 April 2008 they increased by 4.61% from 61.64% to 66.25%. Since then declarations have increased still further to 68%.
- 2.04 In 2007-08 our ethnicity declaration rate for applicants for employment in HMRC was **97%**. We cannot transfer this data from the applications of successful candidates when they join the department as the 2 separate data systems are incompatible. We have looked into the cost of making them compatible but this is prohibitive at this time.
- 2.05 While there is still room for improvement we have made genuine progress since the last report. In 2007-08 our priority, before we could focus on increasing declaration rates, was to completely rebuild our diversity database following our move to a new online HR system. This involved asking all of our 92,000+ staff to re-input all their diversity data onto an entirely new and unfamiliar system.
- 2.06 In October 2007 we ran a high profile campaign via the Intranet promoting diversity declarations, which was directed at all staff. The campaign was led by the Chairman of HMRC, and was fully endorsed and actively supported by the unions. The central campaign was reinforced by messages issued by individual business streams to their staff. We asked staff to take time to update their personal information on the on-line HR system, explaining the importance to them and to the Department of reporting this information.
Appendix 10 pages 55-58 carries examples of the Intranet messages and reminders that we issued explaining what staff needed to do and why, and also how to complete their online entries.
- 2.07 The HMRC Board recognises the crucial importance of improving declaration rates much further. It has introduced a key internal performance target to increase diversity declarations by 10% by 31 March 2009. We have started to implement a number of initiatives to achieve this.
- 2.08 We have now analysed our declaration data by grade and by Business Unit and have identified those with the lowest declaration rates. The Business Units with lower declaration rates include Call Centres where we found that many staff were not accessing the Intranet regularly. We will address this from October 2008 by working closely with senior and local managers from these Business Units to develop strategies to improve declaration rates.



- 2.09 We continue to communicate regularly with all staff via the Intranet and sent our most recent communication burst in mid September 2008. This was timed to coincide with

the introduction of sexual orientation monitoring which has given us another opportunity to remind staff of the importance of entering all their diversity information.

- 2.10 Starting in September 2008 we will be working with our local HR Business Partners to ensure that messages are put across at local team meetings. We will produce briefing packs for managers. We will include material on the importance of entering diversity data in the training package for new staff and managers.
- 2.11 In October 2008 we are writing to Senior Civil Service (SCS) Directors detailing the current declaration rates for their business area. We are asking them to drive up declaration rates in their areas of responsibility and to lead by example in ensuring their own data is recorded.

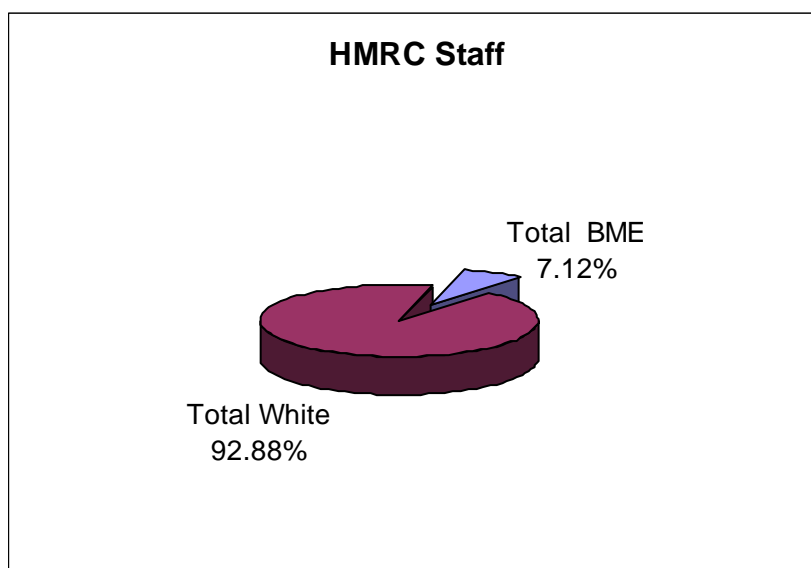
3. BME representation in HMRC

See Appendix 1: Tables 1-10 pages 23-30

- 3.01 Overall, the number of staff in HMRC fell from 96,505 at 01 April 2007 to 92,948 at 31 March 2008. These figures include all staff employed by HMRC, whether paid or unpaid.
- 3.02 Despite the overall decrease in staff in post between 01 April 2007 and 31 March 2008 of 3.68%, the percentage of BME staff employed in HMRC has slightly **increased** from 7.02% to 7.12%. See Table 9 page 29.

All HMRC staff – Known Ethnicity at 1 April 2008

White	Mixed	Asian	Black	Chinese or other	Total BME
53580	488	2614	781	226	4109
92.88%	0.85%	4.53%	1.35%	0.39%	7.12%



For all staff in HMRC (not as a percentage of staff who have declared their ethnicity) the figures are as follows:

White	BME	Choose Not to Declare	Not Known
59.05%	4.48%	4.30%	32.17%

3.03 As in the period 2006-2007, 'Asian or British Asian-Indian' is the largest minority ethnic group in HMRC at 3.12% (just under 3 % in 2006-07. The smallest is 'Any other black background' at 0.03% (0.02 per cent in 2006-07). **See Table 2 page 24.**

3.04 The percentage of BME staff joining HMRC during the period of the report exceeded the percentage of BME staff leaving. **See Tables 16-18 page 33.**

3.05 People leaving HMRC.

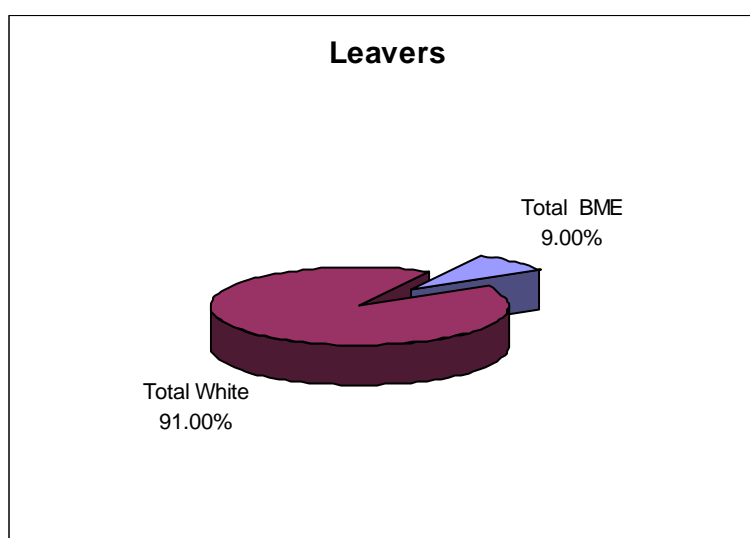
See Appendix 2: Tables 11-15 pages 31-32.

For 2007-2008 our data can be broken down by ethnic group, business area, geographical area and reason for leaving. We now ask leavers to complete an online exit questionnaire, showing their reason for leaving. **See Table 12 page 31.**

3.06 The percentage of BME Leavers was slightly higher overall than BME representation in HMRC, *but not within all grades*. **Tables 14 and 15 on page 32** analyse which grades had the most and least BME leavers. We will do further work on the exit questionnaires to identify any negative impact on BME staff.

Ethnicity of staff who left HMRC from 1 April 2007 to 31 March 2008

White	Mixed	Asian	Black	Chinese or other	Total BME
3135	43	183	64	20	310
91.00%	1.25%	5.31%	1.86%	0.58%	9.00%



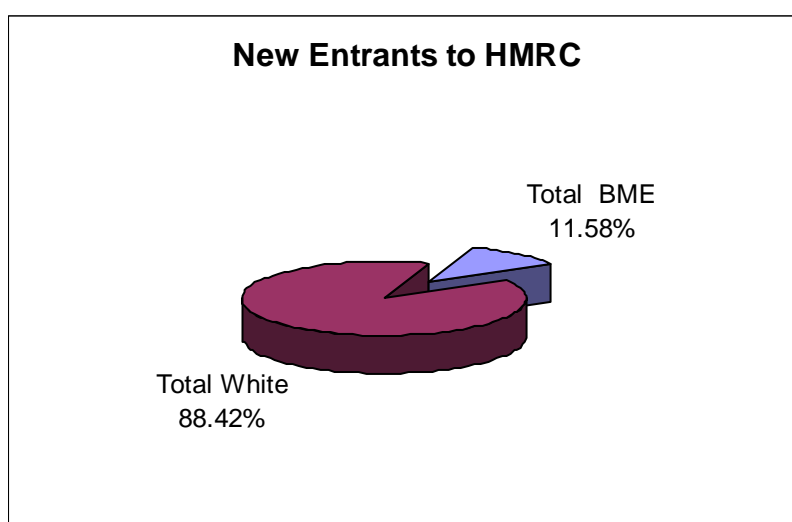
3.07 New entrants to HMRC

See Appendix 3: Tables 16-19 pages 33-34

The percentage of BME new entrants was 11.58%.

Ethnicity of staff who joined HMRC from 1 April 2007 to 31 March 2008

White	Mixed	Asian	Black	Chinese or other	Total BME
993	18	83	18	11	130
88.42%	1.60%	7.39%	1.60%	0.98%	11.58%



3.08 The percentage of BME entrants at Administrative Assistant (AA) grade was 16.7%. The percentage of BME entrants at Officer (O) and Higher Officer (HO) grade was 18.2%; at senior management Grade 7 it was 12.9%.

4. Applicants for employment

See Appendix 4: Tables 20-21 pages 35-36

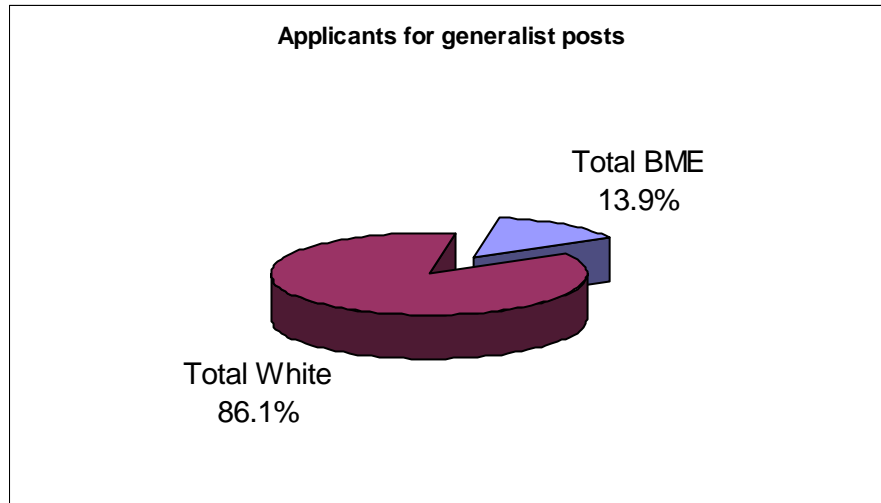
4.01 We recruit staff on three types of contract: Permanent, Fixed Term Appointment (FTA) and Temporary Fixed Term Appointment (TFTA). FTAs are recruited under the Civil Service full, fair and open competition rules and can be recruited for any length of time up to two years. TFTA appointments cannot last (or extend) more than 11 months and do not have to be recruited under full, open competition. However the selection of successful candidates must always be fair and on merit.

4.02 We now collect comprehensive data on applicants for employment and our results and analysis cover all online external recruitment campaigns started after 1 April 2007 and completed before 31 March 2008. The data is broken down into the different stages of the recruitment process, by business area, grade and contract type. **See Table 20 page 35.**

4.03 BME applicants accounted for almost 14% of all applications for Administrative Assistant to Officer grade posts where ethnicity is known.

Total external applicants for generalist posts (AA to O grade) where ethnicity is known

Total known ethnicity	White	Mixed	Asian	Black	Chinese or other	Total BME
15666	13484	319	1212	322	329	2182
100 %	86.1%	2.0%	7.7%	2.1%	2.1%	13.93%



4.04 Data reporting BME applicants' progress through the application process is shown at **Table 20 page 35**.

4.05 **Graduate Recruitment Programme.**

See Table 21 page 36

This Programme recruits staff for specialist posts in HMRC and is open to external applicants with a degree, and internal applicants with, or without, a degree. All applicants, whether internal or external, go through the same application process.

Applicants for Graduate Recruitment Programme					
White	Mixed	Asian	Black	Chinese or other	Total BME
70.3%	1.0%	16.2%	10.6%	2.0%	29.70%

4.06 9.47% of successful applicants were BME. We have carefully reviewed the data for the recruitment process for the 2007/08 Graduate campaign to determine whether there are indications of an adverse impact on BME applicants at any individual stage of the process.

4.07 On-line ability tests. The data indicates that the selection ratios of the BME applicants compared to White applicants group are slightly lower than the 0.80 limit of the four/fifths rule for the Numerical Reasoning test (0.75) and Verbal Reasoning test (0.76) indicating a slight adverse impact. The data shows no adverse impact for the Situational Sift (0.83), Logical Reasoning Test (0.84) and the Personality Questionnaire (0.95).

Whilst the individual tests show little or no adverse impact the combined effect of the on-line application process indicates adverse impact (0.36). The number of applications for 2007/08 was 3339 compared to 7331 applications for 2006/07 and we have therefore compared the data to see if the adverse impacts are broadly similar with a much larger applicant pool. The findings show the ratios to be very similar with the Verbal Test at 0.79 being the only test to show slight adverse impact for 2006/07. Again whilst the individual tests showed little or no adverse impact the cumulative effect of the on-line tests showed an adverse impact ratio of 0.39.

We are currently in discussions with the external on-line test providers to better understand the cumulative effect of the numerous on-line tests. We are continuing to review the data in more detail also to better understand the potentially differing impact on internal and external candidates. Internal candidates do not require a degree qualification whilst external candidates for 2007/08 require a 2:1 degree or better to apply.

4.08 Telephone Interviews. The data indicates that the selection ratios of BME applicants as compared to White applicants are slightly lower than the 0.80 limit of the four/fifths rule at 0.79 for the telephone interviews. The 2006/07 comparable figure is 0.94.

4.09 Assessment Centres. The data indicates that the selection ratios of BME applicants as compared to White applicants are slightly lower than the 0.80 limit of the four/fifths rule at 0.77. The comparable figure for 2006/07 shows adverse impact on a smaller population of 0.20.

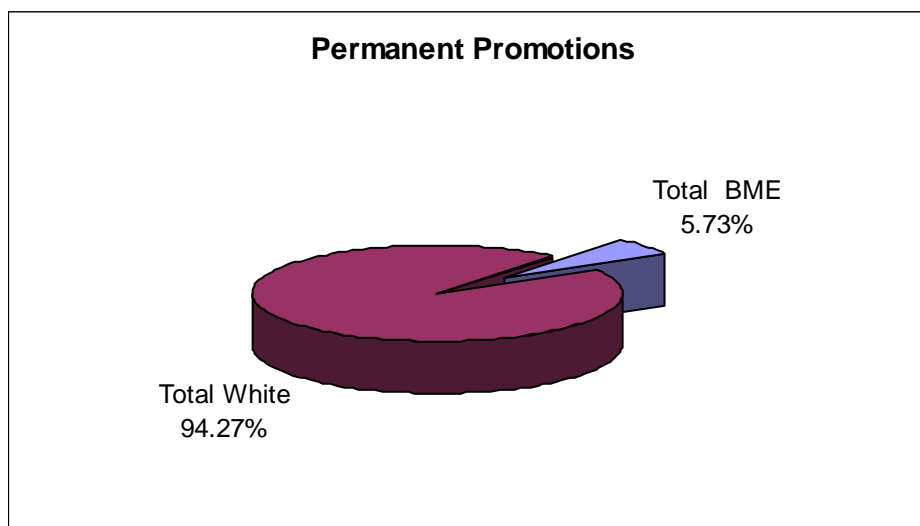
The 2007/08 figures show improvement however we are now carrying out a further analysis on the performance of each group on the assessment centre exercises. In 2006/07 there were 5 exercises and in 2007/2008 there were 4 exercises.

5. Applicants and recipients of promotion

See Appendix 5: Tables 22-29 pages 37-41

5.01 In May 2008 we commissioned a review into all policies and processes relating to internal vacancy filling, which included the gathering, reporting and monitoring of data. The HMRC Race Staff Network was invited to submit its views. The Chief People Officer is currently considering the review and recommendations. Once the recommendations are approved we will produce new draft guidance including an improved data gathering process that will enable us to monitor promotion statistics by business unit, grade of post, grade of applicant and the date the post was advertised. We will carry out initial EQIA work consulting with diversity staff networks and other key stakeholders before publishing the guidance and follow this up with a full EQIA 6 months after implementation.

Ethnicity of Permanent promotions 2007- 2008 grades AA to Grade 6					
White	Mixed	Asian	Black	Chinese or other	Total BME
94.27%	1.00%	3.49%	0.91%	0.33%	5.73%



Permanent promotions by Grade						
Promoted to Grade:	White	Mixed	Asian	Black	Chinese or other	Total BME
Grade 6	97.30%	2.70%	-	-	-	2.70%
Grade 7	94.44%	0.62%	2.47%	1.85%	0.62%	5.56%
Fast Stream	90.00%	-	10.00%	-	-	10.00%
Senior Officer	97.54%	0.41%	0.41%	1.23%	0.41%	2.46%
Higher Officer	94.09%	1.18%	3.94%	0.79%	-	5.91%
Officer	93.87%	0.94%	4.25%	0.47%	0.47%	6.13%
Assistant Officer	89.87%	1.32%	7.49%	0.88%	0.44%	10.13%
Total	94.27%	1.00%	3.49%	0.91%	0.33%	5.73%

- 5.02 The HMRC Race Staff Network is co-ordinating a pilot mentoring scheme within our Debt Management and Banking Directorate which supports the career development of staff in lower management grades, as many of our fast stream development programmes are only open to Higher Officer grade and above.
- 5.03 We have identified that BME staff are doing well in the promotion process up to and including the interview stage but are less successful than White staff at actually getting the post. This was discussed at a meeting in September 2008 between representatives of the Diversity Unit, the Race Staff Network and the HMRC Race Champion. As a result consideration is being given to delivering additional race awareness training for interviewers.

6. Filling vacancies in Senior management grades (Grades 6 and 7)

- 6.01 The Grade 7 Gateway.** The Grade 7 Gateway assesses the suitability of Higher (HO) and Senior (SO) Officers for promotion to Grade 7. For 2007-2008 each Business Unit was allocated a set number of places proportional to the size of the Unit, and provided nominees to fill those places. Nominees successful at the Assessment Centre are awarded a Grade 7 ticket. Being a ticket holder enables the HO/SO to apply for Grade 7 posts but is not in itself a guarantee of promotion to Grade 7. In total there were 229 candidates, of whom 134 were successful. **See Table below, and Table 23 page 38 for analysis.**

Applicants to Grade 7 Gateway and successes						
	White	Mixed	Asian	Black	Chinese or other	Total BME
Total applicants	95.8%	-	2.1%	1.4%	0.7%	4.2%
Successful applicants	94.7%	-	2.6%	1.3%	1.3%	5.3%

6.02 We are now able to break down our Grade 7 Gateway figures by Business Unit:

Grade 7 Gateway candidates					
	White	Asian or British Asian	Black or Black British	Chinese or Other ethnic group	Total BME
Business Unit	Any white background	Indian	Caribbean	Chinese	
Benefits & Credits	100.0%	-	-	-	-
Business Tax	100.0%	-	-	-	-
Corporate Services	100.0%	-	-	-	-
Enforcement & Compliance	87.5%	6.3%	4.2%	2.1%	12.5%
Personal Tax	100.0%	-	-	-	-
Other Offices	100.0%	-	-	-	-
Total	95.8%	2.1%	1.4%	0.7%	4.2%

Successful Grade 7 Gateway candidates					
	White	Asian or British Asian	Black or Black British	Chinese or Other ethnic group	Total BME
Business Stream	Any white background	Indian	Caribbean	Chinese	
Benefits & Credits	-	-	-	-	-
Business Tax	100.0%	-	-	-	-
Corporate Services	100.0%	-	-	-	-
Enforcement & Compliance	82.6%	8.7%	4.3%	4.3%	17.4%
Personal Tax	100.0%	-	-	-	-
Other Offices	100.0%	-	-	-	-
Total	94.7%	2.6%	1.3%	1.3%	5.3%

6.03 The absence of BME candidates from Business Units other than Enforcement and Compliance is partially explained by the fact that this Business Unit has almost half the Senior Officers (SO's) within HMRC. The SO grade is the main feeder grade into the Grade 7 Gateway.

Distribution of Senior Officers (SO) by Business Unit at 31/03/2008

Business Unit	Total SIP	% All Staff	SO	% All SO
Benefits & Credits	7500	8.1%	113	2.8%
Business Tax	2477	2.7%	294	7.4%
Personal Tax	36419	39.2%	581	14.6%
Enforcement & Compliance	29295	31.5%	1825	46.0%
Corporate Services	16332	17.6%	1055	26.6%
Other Offices	925	1.0%	100	2.5%
Total	92948	100%	3968	100%

6.04 The Gateway process has recently been reviewed and several changes implemented for 2008/2009. The Gateway intranet pages have been revised to de-mystify the assessment centre process and provide more advice and support for potential candidates and their managers. A recent review of feedback from both successful and unsuccessful candidates found that the Gateway process was extremely robust.

6.05 Internal promotion to Grade 6 and Grade 7.

During 2007/2008, 344 of the 462 Grade 6/7 posts were filled by an applicant on promotion. The current HMRC vacancy filling process (which is currently under review) gives priority to staff declared surplus and applicants already in the grade. This means that applications on promotion are not always considered. Not all posts are advertised on promotion – they may only be open to staff already in the grade. Applicants may have applied for a number of posts both on level and on promotion during the reporting period.

6.06 Again we are now able to break down our figures by Business Unit. An analysis of successful candidates for the period January to March 2008 shows that the number of applications made before securing promotion is comparable across all ethnic/nationality groups.

6.07 Compared to 2006/2007 the total of BME applicants has increased slightly from 4.1% to 5.2%.

Applications for Grade 6 and 7 posts April 2007 to March 2008

White	Mixed	Asian	Black	Chinese or other	Total BME
94.8%	0.7%	3.2%	1.0%	0.3%	5.2%

Successful applications for Grade 6 and 7 posts April 2007 to March 2008

White	Mixed	Asian	Black	Chinese or other	Total BME
95.3%	1.3%	1.7%	1.3%	0.4%	4.7%

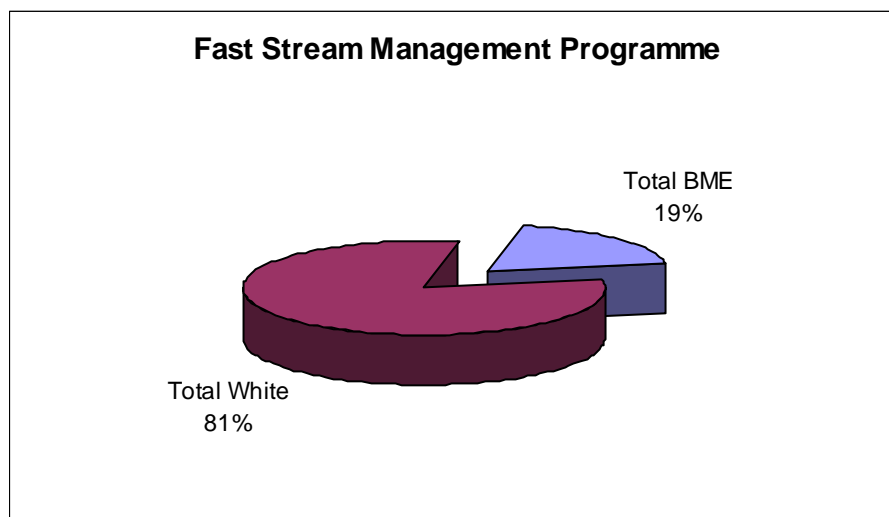
See Tables 26 and 27 on page 40 for breakdowns by Business Unit

7. External recruitment, and internal promotion, to the Senior Civil Service (SCS)

7.01 **General.** Appointments to the SCS are made through internal promotion (following success through the SCS Gateway), from other Civil Service departments and direct external recruitment.

7.02 **Cabinet Office Fast Stream Management Programme.** The Cabinet Office coordinates this Programme and assigns successful candidates to government departments according, in the first place, to the applicant's preference. The successful candidates come into HMRC at Band T (Trainee) with the aim of reaching the Senior Civil Service (SCS) at the end of the 4 year programme. We ask the Cabinet Office to assign a diverse spread of candidates to us but ultimately we have no control over the assignments.

Percentage of successful external applicants to Fast Stream Management Programme						
	White	Mixed	Asian	Black	Chinese or other	Total BME
	81.0%	4.8%	14.3%	-	-	19.0%



7.03 SCS Leadership Gateway.

This is an assessment process that aims to identify those with the ability to perform at SCS level now. We ask Directors to identify high performers at G6 and G7 who are clearly suited for the SCS now, as opposed to those who are simply showing potential. Successful Gateway candidates who are not appointed to SCS vacancies immediately will remain eligible for any that arise in the next 12 –18 months. If they do not obtain a post within that time, they will need to reapply through the SCS Gateway process.

The numbers available for analysis are small; there were a total of 28 candidates, of whom we know the ethnicity of 19, and 8 successful candidates of whom we know the ethnicity of 3. **See Tables 28 and 29 on page 41.**

7.04 Latest SCS Leadership Gateway Programme

In the latest Programme completed in September 2008 we achieved some progress from the 2007-2008 position in terms of BME staff success and in ethnicity declarations.

SCS Leadership Gateway Programme completed
September 2008

	White	All BME
Total applicants	98.3%	1.7%
Reached Interview stage	98.8%	1.2%
ethnicity of successful interviewees	97.4%	2.6%
ethnicity of unsuccessful interviewees	100.0%	0.0%

7.04 We emphasised, in material we sent to Directors promoting the Programme, that:

“When making your decisions it is important that you take full account of the Department’s equality commitments and ensure that everyone who is suitable is given full consideration regardless of their circumstances. You should particularly encourage applications from staff in those groups that are under represented at SCS – women, people from ethnic minority backgrounds, part time workers and people with disabilities. This is not about preferential treatment but about equality of opportunity. By completing both the templates accurately it will give us a complete picture of the diversity information for all applicants”.

7.05 The resulting BME applicants represented 2% of BME staff in the feeder grades (Grade 7 and Grade 6).

7.06 Our messages about the importance of having diversity declarations on the application forms resulted in a **100% declaration rate** from White and BME applicants.

7.07 Clearly there is ongoing disparity between White and BME success and we have further work to do. However we have had some success in this latest programme following our efforts to ensure that applications are encouraged from BME staff.

7.08 Internal promotions to SCS.

In 2007-2008 there were 31 applicants for promotion to SCS posts. All were White. There were 9 successful candidates. We will continue to reinforce our message that applications from groups that are under-represented at SCS level should be encouraged, and will continue to monitor results to ensure we are moving progressively towards achieving the target.

7.09 We have now set a target, which will feed into a civil service-wide target, for 5.1% BME staff in SCS by March 2011. The current percentage of BME staff in SCS based on known ethnicity is 3.63%.

8. Appraisal

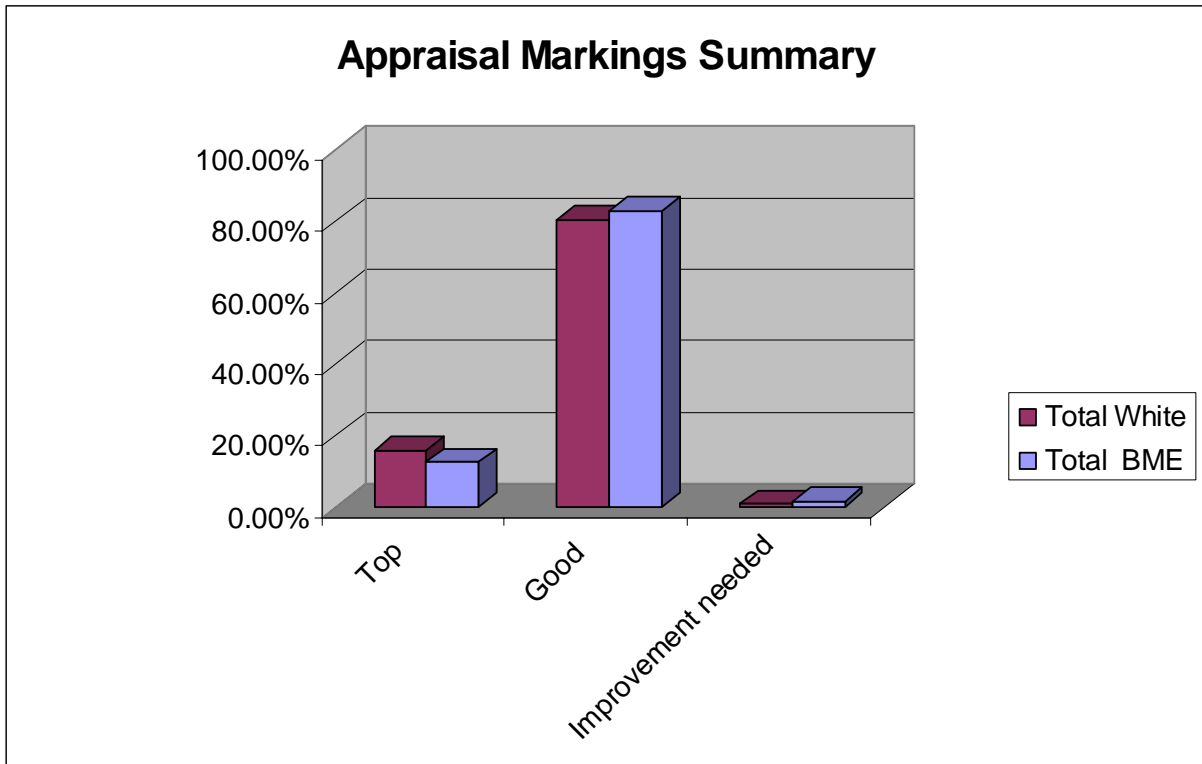
See Appendix 6: Tables 30-32 pages 42-51

- 8.01 Our 2006-2007 appraisal results have now been fully analysed by our statistical specialists and their results are shown here for the first time. The complete 2007-2008 appraisal and promotability markings are now available for analysis and the results will be reported in next year's report, and to staff via the Intranet when they are known.

Percentage of Appraisal markings for AA to Grade 6						
Marking	White	Mixed	Asian	Black	Chinese or other	Total BME
Top	15.99%	13.51%	12.82%	10.90%	14.29%	12.61%
Good	80.50%	81.92%	83.25%	83.24%	82.38%	83.04%
Improvement needed	0.75%	1.09%	1.53%	2.53%	0.95%	1.64%
Not assigned	2.55%	3.27%	3.87%	1.57%	0.36%	6.87%
Not Applicable	0.20%	0.22%	0.17%	0.40%	0.00%	0.21%
Subject to poor performance procedures	0.21%	0.44%	0.17%	0.40%	0.48%	0.26%
Promotion marking	28.58%	25.49%	26.88%	28.06%	32.38%	27.25%

- 8.02 The results show that almost 13% of BME staff received a 'Top' marking compared to 16% of White staff. The percentage is an improvement on the previous year when 10% BME staff received a 'Top'. 12.93% of White staff at AA grade achieved a top box marking, calculated as a % of all White staff at that grade. 10.38% of BME staff at AA grade achieved a Top marking, calculated as a % of all BME staff at that grade.

See Table 32 page 51



- 8.03 We are carrying out a full EQIA of the appraisal process which will be published for formal consultation in October 2008. The results of the EQIA, once complete, will all be used to help inform future changes to ensure our appraisal system operates fairly for all staff. We have already increased the equality messages in the appraisal guidance and will review the guidance again in consultation with our diversity specialists strengthening these messages still further.
- 8.04 We have the highest numbers of both White and BME staff at the Administrative Officer (AO) grade. At this grade there was a minimal difference between staff from the White group and BME staff achieving a Top marking (11.90 white and 11.19 BME). At all other grades the results indicate that White staff were more likely to get a Top marking than BME staff. At grade 6 and 7 there are relatively small numbers of BME staff and the marked percentage differences between White and BME staff may be affected by this.
- 8.05 At AA, AO, Officer (O) and Senior Officer (SO) level a higher percentage of BME staff received 'Improvement Needed' markings. Again these figures are based on relatively small numbers and therefore a small fluctuation in these figures can alter the percentages significantly. We need to improve the quality of this data by improving the declaration rate among staff and to continue to monitor results closely each year.
- 8.06 Our analysis indicates that in the grades representing majority of our HMRC's staff, the difference in appraisal marks between White and BME staff is minimal.

9. Grievance and disciplinary procedures

9.01 We introduced new grievance and discipline procedures in January 2007 which comprise a local informal stage (dealt with by local managers) and a central appeals stage, with an independent panel for complex cases. All gross misconduct cases are dealt with by a central panel and the decision as to whether a case falls into the 'gross misconduct' category is made by our Internal Governance Office.

9.02 Grievance procedures

See Appendix 7: table 33-34 page 52

For those cases that we handle centrally (ie those that reach the Appeals stage) we can now monitor and produce statistics for each stage of the process and by grade for the first time for 2007-08. However the numbers are very small (only 36 where ethnicity is known).

9.03 Grievances dealt with by the business that do not reach the central appeals stage are not currently formally recorded. We have an indication of the numbers involved but cannot perform a diversity analysis. However as part of our current review of the grievance system we are conducting an EQIA which has identified the collection of diversity statistics as an issue. The EQIA has recommended that we make further improvements to our data collection and analysis. This will start in November 2008 when we will require each Business Unit to submit details of the cases they have identified as grievances.

9.04 We have delayed finalisation of our Grievance Review, originally due in June 2008, because we need to take account of the Draft Code of Practice on Discipline and Grievance published by **ACAS in May 2008**. The review will now be completed by the end of the year.

9.05 Disciplinary procedures.

See Appendix 8: Tables 35-37 page 53

There were 1553 disciplinary referrals; however the ethnicity of less than 50% of the referred staff (754) is known: 667 were White and 142 BME. We are starting a Review of Discipline and Conduct in September 2008 and will conclude at 31 March 2009. It will encompass an EQIA which will look at whether there is an issue to be addressed in the proportions of White and BME staff being referred.

Disciplinary referrals						
Level	White	Mixed	Asian	Black	Chinese or other	Total BME
Level 0	85.9%	1.4%	10.7%	1.7%	0.3%	14.1%
Level 1	92.1%	1.5%	4.5%	1.5%	0.4%	7.9%
Level 2	87.4%	-	10.5%	2.1%	-	12.6%
ND	89.7%	-	7.7%	2.6%	-	10.3%
Total	88.5%	1.2%	8.4%	1.7%	0.3%	11.5%

Level 0 = No case or no further formal action by Internal Governance or management

Level 1 - Potential Misconduct or awaiting local action

Level 2 - Potential Gross Misconduct

ND - Ongoing and not yet defined

Disciplinary referrals main outcomes						
Outcome	White	Mixed	Asian	Black	Chinese or other	Total BME
No further Action	86.0%	0.9%	11.3%	1.8%	-	14.0%
12 month written warning	92.8%	2.1%	3.6%	1.0%	0.5%	7.2%
Dismissed	85.3%	-	11.8%	2.9%	-	14.7%
Resigned	74.2%	6.5%	16.1%	-	3.2%	25.8%
Internal Governance action ongoing	84.7%	-	10.6%	4.7%	-	15.3%
Total	88.5%	1.2%	8.4%	1.7%	0.3%	11.5%

10. Training

See Appendix 9: Table 38 page 54

10.01 Our Learning programme operates largely on a self-service basis which enables individuals to take responsibility for obtaining their own learning, once a development need has been identified and agreed between themselves and their manager. The amount and type of learning is largely determined by the training requirements of the individual's particular job.

We deliver:

- **Face to Face learning** - which includes Trainer led classroom based sessions, One-to-one training, Seminars, Conferences, Virtual classroom training, Practical skills training, and
- **Non-Face to face (self-paced) learning** – which includes E-learning, Self instruction workbooks, Videos

10.02 Face to Face courses

Individuals use our Online Learning system to select an event that is convenient for them in time and, where possible, location. They obtain a place on a course by booking directly onto an event. If there is no suitable event they can book themselves onto a waitlist and are notified electronically when additional courses are available.

10.03 **Non Face to Face** learning. This is almost entirely managed by the individual. The individual can book and undertake the learning immediately in the case of e- learning, or wait for a short time for self study material to be sent to them.

10.04 We have identified the ethnicity of 62.07% of total applicants for training in 2007/8, a 7.18% increase on last year's figure of 55.89%.

10.05 Applicants for, and the take-up of, learning are evenly spread in percentage terms across the different ethnic groups.

10.06 The amount of learning undertaken by the "White - any white background" has decreased by 0.63%, although this is comparatively small it is the largest reduction in learning received for any Ethnic group.

10.07 For all BME groups there has been very little change in the percentages of learning undertaken within each ethnic group. For the majority of BME groups the learning undertaken increased slightly over the 2006/7 levels, with the exception of "Any other black background" and "Any other mixed background" where there are very small reductions in the amount of learning received.

Percentage of training nominations satisfied						
	White	Mixed	Asian	Black	Chinese or other	Total BME
Nominations satisfied in 2006-07	93.18%	0.99%	4.25%	1.26%	0.32%	6.82%
Nominations satisfied in 2007-08	92.55%	0.90%	4.71%	1.38%	0.46%	7.45%
Change in % of nominations satisfied between 2006-07 and 2007-08	-0.63%	-0.09%	0.46%	0.12%	0.14%	0.63%

11. **Key Actions to maintain progress.** The table below summarises the key action points referred to in the report.

Aspect of Report	Paragraph	Action	Timetable
Diversity declaration rates	2.07	Increase declaration rates by 10%	Complete by 31 March 2009
Diversity declaration rates	2.08	Work with Business Units with lowest declaration rates to improve them	Start October 2008. Complete by 31 March 2009
Diversity declaration rates	2.11	Involve Senior Civil Service Directors to improve declaration rates	Start October 2008. Complete by 31 March 2009
Leavers	3.06	Examine exit questionnaires to identify reasons for BME staff leaving and take appropriate actions	Complete by 31 March 2009
Graduate Recruitment Programme – online tests	4.07	Examine the cumulative effect of online tests to see if there is a negative impact on BME applicants and take any appropriate follow-up action	Current and ongoing
Graduate Recruitment Programme – Assessment Centre	4.09	Analyse performance of each ethnic group and recommend further action as appropriate.	Current and ongoing
Internal Vacancy Filling	5.01	Publish new policy and procedural guidance including a new data gathering process.	Publish by December 2008.

Aspect of Report	Paragraph	Action	Timetable
Internal Vacancy Filling	5.01	Carry out EQIA of new Internal Vacancy Filling process	Start June 2009
Promotions	5.03	Consider additional race awareness training for interviewers	Current – complete by 31 March 2009
SCS Leadership Gateway	7.07	Continue efforts to actively encourage applications from BME staff	Current and ongoing
Internal promotions to SCS	7.09	Target of 5.1% BME staff in SCS by March 2011	Work from now to achieve by March 2011
Appraisal	8.01	Publish full analysis of 2007-2008 results	By December 2008
Appraisal	8.03	Use results of EQIA to review guidance and strengthen equality messages to managers and staff	Current and ongoing
Grievance procedures	9.03	Start to collect and monitor data on local grievances	From November 2008
Grievance procedures	9.03	Complete review of Grievance procedures and carry out EQIA recommendations	Complete December 2008
Disciplinary procedures	9.05	Carry out review of Discipline and Conduct and EQIA	Start September 2008 and conclude 31 March 2009

12. Contact point for further enquiries:

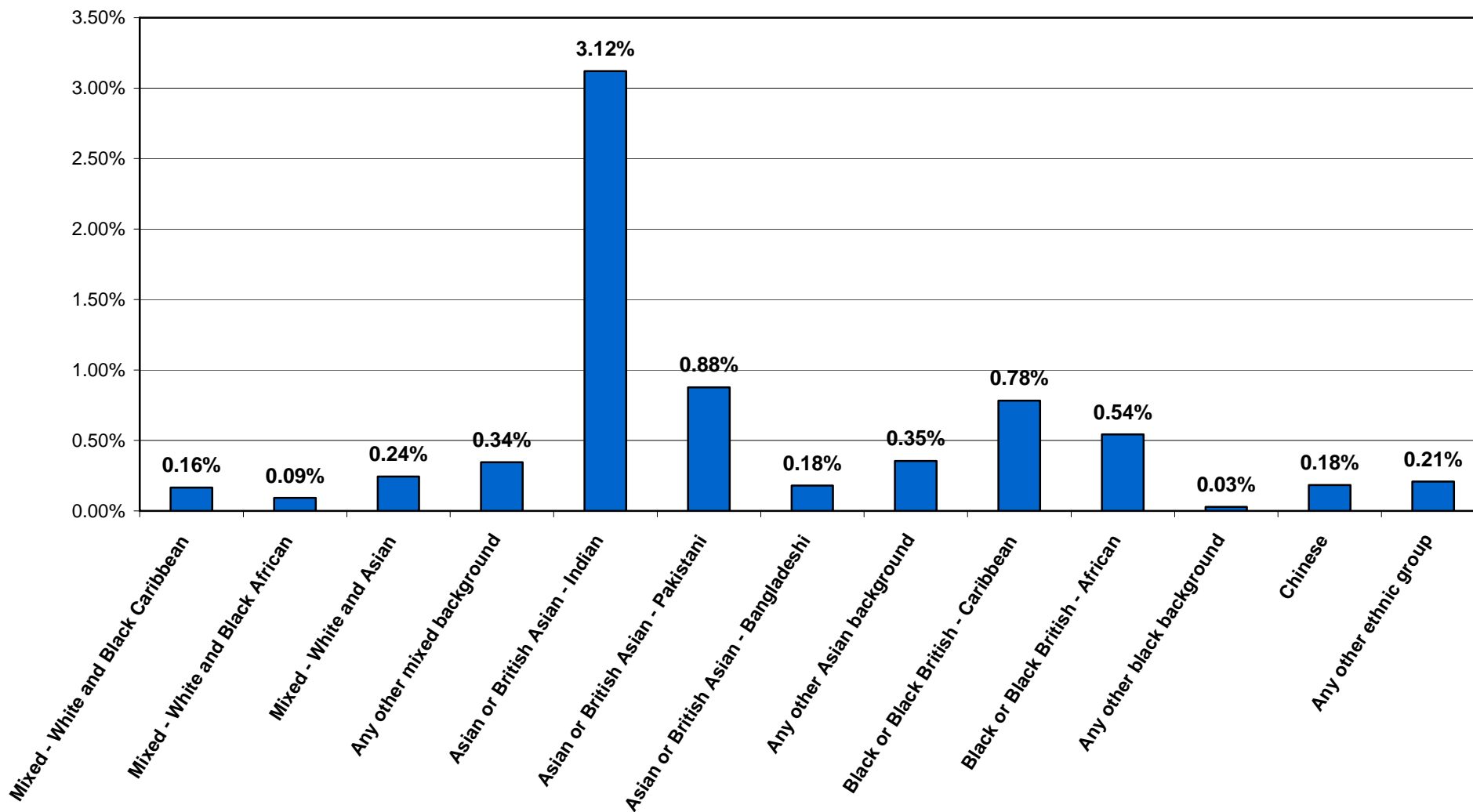
Diane Wailes,
HMRC Corporate Responsibility and Diversity Team,
Somerset House, New Wing, Strand, London, WC2R 1LB
Tel: 0207 438 6091
Email: diane.wailes@hmrc.gsi.gov.uk

Appendix 1 Staff in Post

Table 1: – Breakdown of staff by all ethnic groups

White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other	
Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
53580	95	53	141	199	1800	506	104	204	452	313	16	106	120
92.88%	0.16%	0.09%	0.24%	0.34%	3.12%	0.88%	0.18%	0.35%	0.78%	0.54%	0.03%	0.18%	0.21%

Table 2: Staff in Post - breakdown of Black and Ethnic Minority groups at 31 March 2008



Appendix 1 Staff in Post

Table 3: Staff in post – breakdown by main ethnic groups by grade

Grade	White	Mixed	Asian	Black	Chinese or other	Total BME
SCS	96.37%	1.32%	0.99%	0.00%	1.32%	3.63%
Grade 6	96.44%	1.05%	1.45%	0.79%	0.26%	3.56%
Grade 7	95.29%	0.99%	2.54%	0.62%	0.56%	4.71%
Fast Stream	93.50%	1.00%	3.25%	1.25%	1.00%	6.50%
Senior Officer	96.31%	0.72%	1.63%	0.72%	0.61%	3.69%
Higher Officer	94.22%	0.83%	3.38%	1.27%	0.30%	5.78%
Officer	92.58%	0.82%	4.54%	1.77%	0.28%	7.42%
Assistant Officer	92.65%	0.86%	4.87%	1.25%	0.38%	7.35%
Admin Assistant	90.77%	0.83%	6.38%	1.47%	0.55%	9.23%
Total	92.88%	0.85%	4.53%	1.35%	0.39%	7.12%

Table 4: Staff in post – breakdown by all ethnic groups by grade

Grade	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
SCS	96.37%	0.66%	0.33%	0.33%	-	0.99%	-	-	-	-	-	-	0.33%	0.99%
Grade 6	96.44%	0.26%	-	0.26%	0.53%	1.05%	0.26%	0.13%	-	0.13%	0.66%	-	0.13%	0.13%
Grade 7	95.29%	0.12%	-	0.31%	0.56%	1.92%	0.19%	-	0.43%	0.43%	0.19%	-	0.31%	0.25%
Fast Stream	93.50%	-	0.75%	0.25%	-	1.50%	0.75%	0.25%	0.75%	1.25%	-	-	0.50%	0.50%
Senior Officer	96.31%	0.04%	0.11%	0.23%	0.34%	1.29%	0.08%	0.04%	0.23%	0.38%	0.30%	0.04%	0.23%	0.38%
Higher Officer	94.22%	0.11%	0.08%	0.24%	0.41%	2.66%	0.27%	0.11%	0.35%	0.66%	0.57%	0.03%	0.11%	0.20%
Officer	92.58%	0.12%	0.08%	0.23%	0.40%	3.43%	0.60%	0.12%	0.38%	1.09%	0.65%	0.03%	0.10%	0.18%
Assistant Officer	92.65%	0.20%	0.10%	0.27%	0.30%	3.15%	1.21%	0.19%	0.32%	0.70%	0.52%	0.03%	0.22%	0.16%
Admin Assistant	90.77%	0.23%	0.09%	0.19%	0.31%	4.09%	1.42%	0.42%	0.45%	0.87%	0.57%	0.03%	0.25%	0.30%
Total	92.88%	0.16%	0.09%	0.24%	0.34%	3.12%	0.88%	0.18%	0.35%	0.78%	0.54%	0.03%	0.18%	0.21%

Appendix 1 Staff in Post

Table 5: Staff in post – breakdown of White and BME staff in each grade

Appendix 1 Staff in Post

Table 6: Staff in post – breakdown by main ethnic groups, by Business Unit

Business Unit	White	Mixed	Asian	Black	Chinese or other	Total BME
Benefits & Credits	93.72%	0.74%	4.60%	0.61%	0.33%	6.28%
Business Tax	91.31%	1.05%	4.99%	1.91%	0.74%	8.69%
Personal Tax	95.31%	0.71%	3.13%	0.57%	0.29%	4.69%
Enforcement & Compliance	90.84%	0.98%	5.75%	2.00%	0.43%	9.16%
Corporate Services	91.35%	0.87%	5.30%	1.99%	0.48%	8.65%
Other Offices	82.75%	2.32%	8.29%	5.64%	1.00%	17.25%
Total	92.88%	0.85%	4.53%	1.35%	0.39%	7.12%

Table 7: Staff in post - breakdown by all ethnic groups, by Business Unit

Business Unit	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Benefits & Credits	93.72%	0.22%	0.07%	0.17%	0.28%	3.64%	0.72%	0.09%	0.15%	0.26%	0.33%	0.02%	0.13%	0.20%
Business Tax	91.31%	0.12%	0.06%	0.37%	0.49%	3.82%	0.62%	0.12%	0.43%	1.11%	0.74%	0.06%	0.43%	0.31%
Personal Tax	95.31%	0.16%	0.07%	0.20%	0.28%	1.92%	0.94%	0.14%	0.12%	0.36%	0.20%	0.01%	0.17%	0.12%
Enforcement & Compliance	90.84%	0.13%	0.11%	0.31%	0.43%	4.31%	0.68%	0.15%	0.61%	1.17%	0.82%	0.01%	0.15%	0.28%
Corporate Services	91.35%	0.18%	0.13%	0.22%	0.34%	3.33%	1.15%	0.30%	0.52%	1.12%	0.80%	0.07%	0.24%	0.24%
Other Offices	82.75%	0.66%	0.00%	1.00%	0.66%	6.63%	0.50%	0.83%	0.33%	2.99%	2.49%	0.17%	0.17%	0.83%
Total	92.88%	0.16%	0.09%	0.24%	0.34%	3.12%	0.88%	0.18%	0.35%	0.78%	0.54%	0.03%	0.18%	0.21%

Table 8: Staff in post - breakdown by Government Office Region

Government Office Region	Total	White	Total BME
East	3617	3433	184
	%	94.91%	5.09%
East Midlands	2863	2588	275
	%	90.39%	9.61%
London	5669	3817	1852
	%	67.33%	32.67%
North East	8376	8254	122
	%	98.54%	1.46%
North West	9592	9160	432
	%	95.50%	4.50%
Northern Ireland	1627	1617	10
	%	99.39%	0.61%
Scotland	7238	7129	109
	%	98.49%	1.51%
South East	5026	4790	236
	%	95.30%	4.70%
South West	2628	2566	62
	%	97.64%	2.36%
Wales	2961	2912	49
	%	98.35%	1.65%
West Midlands	3565	3185	380
	%	89.34%	10.66%
Yorks & Humber	4310	3924	386
	%	91.04%	8.96%
Home/Unknown	142	130	12
	%	91.55%	8.45%
Overseas	75	75	-
	%	100.00%	-
Total	57689	53580	4109
	%	92.88%	7.12%

Appendix 1 Staff in Post

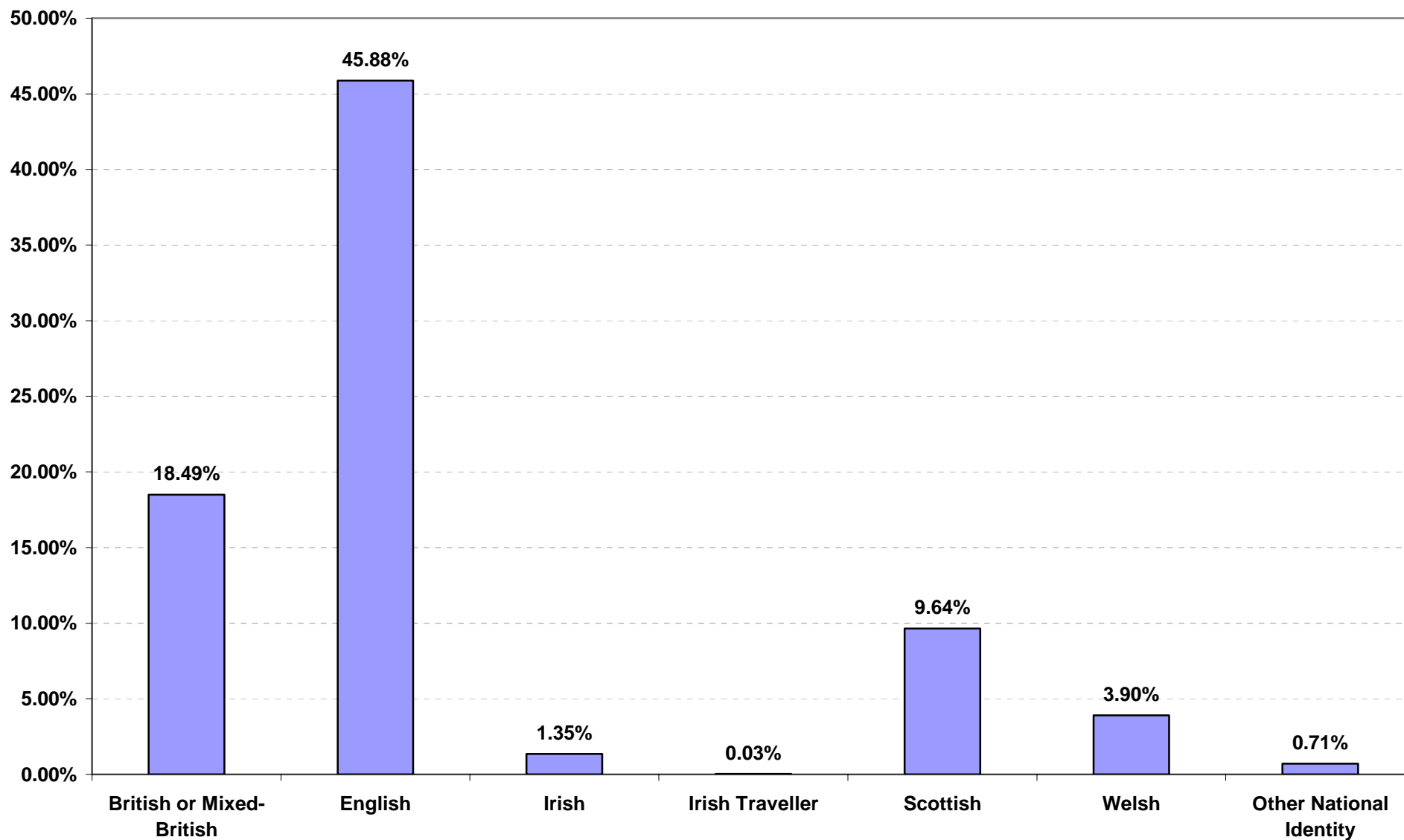
Table 9: 'Have the percentages of BME staff increased between 31 March 2007 and 31 March 2008?'

Pay Band	31-Mar-07		31-Mar-08		31-Mar-07		31-Mar-08	
	White	Total BME	White	Total BME	White	Total BME	White	Total BME
SCS	278	10	292	11	96.5%	3.5%	96.4%	3.6%
Grade 6	619	25	732	27	96.1%	3.9%	96.4%	3.6%
Grade 7	1,400	58	1,539	76	96.0%	4.0%	95.3%	4.7%
Fastream	343	23	374	26	93.7%	6.3%	93.5%	6.5%
Senior Officer	2,313	98	2,533	97	95.9%	4.1%	96.3%	3.7%
Higher Officer	6,077	363	6,245	383	94.4%	5.6%	94.2%	5.8%
Officer	12,809	1,016	13,052	1,046	92.7%	7.3%	92.6%	7.4%
Administrative Officer	21,052	1,634	21,830	1,733	92.8%	7.2%	92.6%	7.4%
Administrative Assistant	7,079	696	6,983	710	91.0%	9.0%	90.8%	9.2%
Overall Totals	51,970	3,923	53,580	4,109	93.0%	7.02%	92.9%	7.12%

Note:

1. *The figures in italics indicate that there was a higher percentages of staff than the previous year*
2. **The bold figures indicate that there was a lower percentage of staff than the previous year**
3. Overall there was a 0.1% increase in the percentage of BME staff from 31 March 2007 to 31 March 2008.
4. BME percentages by pay bands as at 31 March 2008 exceeded the percentages at 31 March 2007.

Table 10: Staff in Post - breakdown by known National Identity at 31 March 2008



Appendix 2: Leavers

Table 11: Staff who left HMRC – breakdown by all ethnic groups

White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic	
Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
91.00%	0.49%	0.12%	0.20%	0.44%	3.13%	1.48%	0.38%	0.32%	1.16%	0.64%	0.06%	0.32%	0.26%

Table 12: Staff who left HMRC – breakdown by reason for leaving

Reason for leaving	White	Total BME
Resignation	90.0%	10.0%
Retirement	95.6%	4.4%
Approved Early Retirement	96.6%	3.4%
Flexible Early Severance/Public Sector Release Scheme	84.60%	15.40%
Transfer to OGD	89.1%	10.9%
Dismissal	86.4%	13.6%
End of Contract	89.9%	10.1%
Death	100.0%	-
Other	91.1%	8.9%
Total	91.0%	9.0%

Table 13: Staff who left HMRC – breakdown by grade

Grade	White	Total BME
Admin Assistant	92.6%	7.4%
Admin Assistant FTA	84.9%	15.1%
Assistant Officer	91.1%	8.9%
Assistant Officer FTA	86.2%	13.8%
Officer	91.8%	8.2%
Officer FTA	100.0%	-
Higher Officer	91.4%	8.6%
Senior Officer	92.4%	7.6%
Fast Stream	83.3%	16.7%
Grade 7	95.8%	4.2%
Grade 6	97.2%	2.8%
SCS	100.0%	-
Total	91.0%	9.0%

Appendix 2: Leavers

Table 14: 'Were BME staff more likely to leave HMRC than White staff?

Pay Band	Percentage of Staff in Post as at 31 March 2008 with Known Ethnicity			Percentage of Leavers in 2007-08 with Known Ethnicity		
	White	Total BME	Total	White	Total BME	Total
SCS	0.54%	0.27%	0.53%	<i>1.21%</i>	0.00%	<i>1.10%</i>
Grade 6	1.37%	0.66%	1.32%	1.12%	0.32%	1.04%
Grade 7	2.87%	1.85%	2.80%	2.20%	0.97%	2.09%
Fast Stream	0.70%	0.63%	0.69%	0.64%	<i>1.29%</i>	0.70%
Senior Officer	4.73%	2.36%	4.56%	3.09%	<i>2.58%</i>	3.05%
Higher Officer	11.66%	9.32%	11.49%	7.81%	7.42%	7.78%
Officer	24.36%	25.46%	24.44%	15.82%	14.19%	15.67%
Administrative Officer	40.74%	42.18%	40.84%	<i>44.24%</i>	<i>45.2%</i>	<i>44.33%</i>
Administrative Assistant	13.03%	17.28%	13.34%	<i>23.86%</i>	<i>28.06%</i>	<i>24.24%</i>
Totals	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

Note:

- The figures in italics indicate that there was a higher percentages of leavers in relation to the percentages of staff in post.*
- The bold figures indicate that there was a lower percentage of leavers in relation to the percentages of staff in post.**
- The percentage of leavers for both White and BME staff exceeds the percentages of staff in post.

Table 15: Analysis of leavers by grade

Pay Band	Percentage of Staff in Post as at 31 March 2008 with Known Ethnicity			Percentage of Leavers in 2007-08 with Known Ethnicity			Resignation		Retirement		Transfer to Other Government Departments		Dismissal		Other	
	White	Total BME	Total	White	Total BME	Total	White	Total BME	White	Total BME	White	Total BME	White	Total BME	White	Total BME
SCS	0.54%	0.27%	0.53%	<i>1.21%</i>	0.00%	<i>1.10%</i>	0.49%	0.00%	<i>1.41%</i>	0.00%	<i>4.20%</i>	0.00%	0.00%	0.00%	<i>1.12%</i>	0.00%
Grade 6	1.37%	0.66%	1.32%	1.12%	0.32%	1.04%	0.41%	<i>0.74%</i>	<i>1.56%</i>	0.00%	0.42%	0.00%	0.00%	0.00%	<i>2.53%</i>	0.00%
Grade 7	2.87%	1.85%	2.80%	2.20%	0.97%	2.09%	0.98%	<i>1.47%</i>	<i>3.13%</i>	0.00%	<i>3.78%</i>	<i>3.45%</i>	0.00%	0.00%	<i>2.25%</i>	0.00%
Fastream	0.70%	0.63%	0.69%	0.64%	<i>1.29%</i>	0.70%	<i>0.73%</i>	<i>1.47%</i>	0.08%	0.00%	<i>2.10%</i>	<i>6.90%</i>	0.00%	0.00%	<i>1.40%</i>	0.00%
Senior Officer	4.73%	2.36%	4.56%	3.09%	<i>2.58%</i>	3.05%	1.22%	1.47%	<i>4.69%</i>	0.96%	<i>3.36%</i>	<i>17.24%</i>	0.00%	0.00%	<i>3.93%</i>	0.00%
Higher Officer	11.66%	9.32%	11.49%	7.81%	7.42%	7.78%	3.51%	4.41%	<i>13.22%</i>	<i>10.58%</i>	5.46%	<i>17.24%</i>	2.63%	0.00%	5.34%	2.86%
Officer	24.36%	25.46%	24.44%	15.82%	14.19%	15.67%	7.76%	8.09%	<i>25.74%</i>	<i>22.12%</i>	12.61%	<i>20.69%</i>	10.53%	<i>16.67%</i>	10.67%	8.57%
Administrative Officer	40.74%	42.18%	40.84%	<i>44.24%</i>	<i>45.16%</i>	<i>44.33%</i>	<i>60.98%</i>	<i>48.53%</i>	31.46%	<i>48.08%</i>	<i>47.06%</i>	27.59%	<i>60.53%</i>	<i>50.00%</i>	28.93%	37.14%
Administrative Assistant	13.03%	17.28%	13.34%	<i>23.86%</i>	<i>28.06%</i>	<i>24.24%</i>	<i>23.92%</i>	<i>33.82%</i>	18.70%	18.27%	21.01%	6.90%	<i>26.32%</i>	<i>33.33%</i>	<i>43.82%</i>	<i>51.43%</i>
Total	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

Note:

- The figures in italics indicate that there was a higher percentages of leavers in relation to the percentages of staff in post.*
- The bold figures indicate that there was a lower percentage of leavers in relation to the percentages of staff in post.**
- The resignation, retirement, Other Government Departments, Dismissal and Other leavers are compared to the overall 'Percentages of Leavers 2007-08 with Known Ethnicity.

Appendix 3: New Entrants to HMRC

Table 16: Staff who joined HMRC- breakdown by all ethnic groups

White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic	
Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
88.4%	0.4%	0.2%	0.8%	0.3%	2.6%	3.9%	0.7%	0.2%	0.3%	1.2%	0.2%	0.7%	0.3%

Table 17: Staff who joined HMRC – breakdown by grade

Grade	White	Total BME
Admin Assistant	100.0%	-
Admin Assistant (FTA)	82.8%	17.2%
Assistant Officer	92.2%	7.8%
Assistant Officer (FTA)	64.7%	35.3%
Officer	83.3%	16.7%
Officer (FTA)	75.0%	25.0%
Higher Officer	83.3%	16.7%
Senior Officer	100.0%	-
Fast Stream	88.9%	11.1%
Grade 7	87.1%	12.9%
Grade 6	100.0%	-
SCS	90.9%	9.1%
Total	88.4%	11.6%

Table 18: Staff who joined HMRC – breakdown by Government Office Region

Government Office Region	White	Total BME
East	91.3%	8.7%
East Midlands	100.0%	-
London	82.4%	17.6%
North East	92.4%	7.6%
North West	89.9%	10.1%
Northern Ireland	100.0%	-
Scotland	93.6%	6.4%
South East	96.8%	3.2%
South West	98.1%	1.9%
Wales	92.5%	7.5%
West Midlands	73.6%	26.4%
Yorks & Humber	47.9%	52.1%
Home/Unknown	95.2%	4.8%
Total	88.4%	11.6%

Appendix 3: New Entrants to HMRC

Table 19: Staff who joined HMRC by all ethnic groups, by Government Office Region

	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Government Office Region	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
East	91.3%	-	-	4.3%	-	4.3%	-	-	-	-	-	-	-	-
East Midlands	100.0%	-	-	-	-	-	-	-	-	-	-	-	-	-
London	82.4%	-	1.2%	3.5%	-	4.7%	-	-	1.2%	-	3.5%	1.2%	2.4%	-
North East	92.4%	1.1%	-	-	-	1.1%	2.7%	1.1%	-	-	1.1%	0.5%	-	-
North West	89.9%	0.5%	0.5%	-	1.0%	1.4%	2.9%	1.4%	-	-	1.4%	-	1.0%	-
Northern Ireland	100.0%	-	-	-	-	-	-	-	-	-	-	-	-	-
Scotland	93.6%	0.4%	-	0.4%	0.4%	2.1%	1.7%	-	-	-	0.4%	-	0.9%	-
South East	96.8%	-	-	-	-	-	-	-	-	-	3.2%	-	-	-
South West	98.1%	-	-	1.9%	-	-	-	-	-	-	-	-	-	-
Wales	92.5%	-	-	1.3%	-	1.3%	1.3%	-	-	1.3%	1.3%	-	1.3%	-
West Midlands	73.6%	-	-	1.9%	-	15.1%	1.9%	-	1.9%	3.8%	1.9%	-	-	-
Yorks & Humber	47.9%	-	-	1.4%	-	4.1%	37.0%	4.1%	-	-	1.4%	-	-	4.1%
Home/Unknown	95.2%	-	-	-	-	3.2%	-	-	-	-	-	-	1.6%	-
Total	88.4%	0.4%	0.2%	0.8%	0.3%	2.6%	3.9%	0.7%	0.2%	0.3%	1.2%	0.2%	0.7%	0.3%

Appendix 4 : Applicants for employment

Table 20: External applicants for generalist (Grade AA to O) posts – breakdown by all ethnic groups

		White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Criteria	Total known ethnicity	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Rejected after minimum Criteria	0.24%	0.07%	-	0.01%	-	-	0.04%	0.02%	0.01%	0.01%	-	0.03%	0.01%	0.02%	0.03%
Reject after situational sift (e-mail sent)	14.46%	11.21%	0.07%	0.10%	0.13%	0.07%	0.59%	1.15%	0.27%	0.08%	0.12%	0.29%	0.03%	0.10%	0.26%
Rejected after tests	16.92%	14.94%	0.06%	0.06%	0.07%	0.07%	0.36%	0.39%	0.08%	0.04%	0.08%	0.36%	0.04%	0.04%	0.32%
Rejected after Test (Banked)	10.73%	9.50%	0.04%	0.01%	0.08%	0.06%	0.28%	0.29%	0.06%	0.03%	0.04%	0.11%	-	0.06%	0.16%
Reject after Interview - Not Banked	0.01%	0.01%	-	-	-	-	-	-	-	-	-	-	-	-	-
Successful at Interview (Merit List)	3.21%	2.58%	0.03%	-	0.03%	0.01%	0.27%	0.11%	0.03%	0.03%	0.01%	0.04%	0.01%	0.01%	0.07%
Rejected after pre-appointment checks	0.65%	0.54%	-	-	0.02%	0.01%	0.03%	0.03%	0.01%	-	-	0.01%	-	0.01%	-
Offered position	0.20%	0.19%	0.01%	-	-	-	-	-	-	-	-	0.01%	-	-	-
Offer rejected	0.37%	0.33%	-	-	0.01%	-	-	0.03%	-	-	-	-	-	-	-
Take up duty	17.24%	15.00%	0.04%	0.07%	0.13%	0.10%	0.48%	0.59%	0.17%	0.06%	0.06%	0.20%	0.03%	0.10%	0.22%
Withdrawn	35.55%	31.31%	0.14%	0.14%	0.22%	0.26%	0.90%	0.95%	0.21%	0.14%	0.13%	0.40%	0.05%	0.10%	0.60%
Rejected after Merit List Expired	0.41%	0.40%	-	0.01%	-	-	-	-	-	-	-	0.01%	-	-	0.01%
TOTALS	100.00%	86.07%	0.38%	0.40%	0.68%	0.57%	2.95%	3.56%	0.84%	0.39%	0.46%	1.44%	0.15%	0.43%	1.67%

Appendix 4 : Applicants for employment

Table 21: Graduate Recruitment Programme – breakdown by all ethnic groups

		White	Mixed		Asian or British Asian				Black or Black British		Chinese or Other ethnic group	
Criteria	Total known ethnicity	Any white background	White and Black Caribbean	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Chinese	Other ethnic group
Rejected after minimum criteria	1.32%	0.66%	-	-	0.33%	-	-	-	-	-	-	0.33%
Rejected after sift	67.3%	40.9%	0.3%	0.7%	9.2%	2.3%	1.0%	2.0%	3.3%	6.3%	0.3%	1.0%
Rejected after work sample tests (numeracy/ literacy/data entry reading)	-	-	-	-	-	-	-	-	-	-	-	-
Rejected after assessment centre (work sample tests and interviews)	15.5%	14.5%	-	-	0.3%	0.3%	-	-	-	0.3%	-	-
Offer accepted	6.3%	5.9%	-	-	-	-	-	0.3%	-	-	-	-
Offer rejected	0.7%	0.3%	-	-	0.3%	-	-	-	-	-	-	-
Rejected after pre-appointment checks	-	-	-	-	-	-	-	-	-	-	-	-
Withdrawn/not complete	6.6%	5.9%	-	-	-	-	-	-	0.3%	0.3%	-	-
Successful put on reserve list	2.3%	2.0%	-	-	-	-	-	-	-	-	0.3%	-
Total	100.0%	70.3%	0.3%	0.7%	10.2%	2.6%	1.0%	2.3%	3.6%	6.9%	0.7%	1.3%

Appendix 5 : Applicants and recipients of promotion

Table 22: Permanent Promotions – breakdown by all ethnic groups and by grade

Promotion to Grade:	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Assistant Officer	89.87%	0.44%	-	0.44%	0.44%	5.29%	1.32%	0.44%	0.44%	-	0.88%	-	-	0.44%
Officer	93.87%	0.47%	-	-	0.47%	2.83%	0.94%	0.47%	-	0.47%	-	-	-	0.47%
Higher Officer	94.09%	0.39%	-	-	0.79%	3.15%	0.79%	-	-	0.79%	-	-	-	-
Senior Officer	97.54%	-	0.41%	-	-	-	0.41%	-	-	0.41%	0.82%	-	0.41%	-
Fast Stream	90.00%	-	-	-	-	-	10.00%	-	-	-	-	-	-	-
Grade 7	94.44%	-	-	0.62%	-	2.47%	-	-	-	1.23%	0.62%	-	0.62%	-
Grade 6	97.30%	-	-	1.35%	1.35%	-	-	-	-	-	-	-	-	-
SCS	100.00%	-	-	-	-	-	-	-	-	-	-	-	-	-
Total	94.27%	0.25%	0.08%	0.25%	0.41%	2.49%	0.75%	0.17%	0.08%	0.50%	0.41%	-	0.17%	0.17%

Appendix 5 : Applicants and recipients of promotion

Table 23: How successful were BME staff at the Grade 7 Gateway?

Ethnicity of candidates	Percentage of Candidates	Percentage of Successful Candidates
Any White Background	95.8%	94.8%
Indian	2.1%	2.6%
Caribbean	1.4%	1.3%
Chinese	0.7%	1.3%

Notes:

1. The last column shows where the % of successful candidates was **lower** or *higher* than the % of candidates.

Appendix 5 : Applicants and recipients of promotion

Table 24: Internal Applications for Grade 6 and 7 posts – breakdown by main ethnic groups and by Business Unit

Business Unit	White	Mixed	Asian	Black	Chinese or other	Total BME
Benefits & Credits	100.0%	-	-	-	-	-
Business Tax	99.3%	-	0.7%	-	-	0.7%
Corporate Services	89.7%	0.7%	9.6%	-	-	10.3%
Enforcement & Compliance	92.7%	1.5%	2.9%	2.5%	0.4%	7.3%
Personal Tax	99.2%	-	-	-	0.8%	0.8%
Other Offices	100.0%	-	-	-	-	-
Total	94.8%	0.7%	3.2%	1.0%	0.3%	5.2%

Table 25: Internal Applications for Grade 6 and 7 posts – breakdown by all ethnic groups and by Business Unit

Business Unit	White	Mixed	Asian or British Asian			Black or Black British	Chinese or Other ethnic group	
	Any white background	Other Mixed	Indian	Pakistani	Other Asian	Caribbean	Chinese	Other ethnic group
Benefits & Credits	100.0%	-	-	-	-	-	-	-
Business Tax	99.3%	-	-	-	0.7%	-	-	-
Corporate Services	89.7%	0.7%	9.6%	-	-	-	-	-
Enforcement & Compliance	92.7%	1.5%	2.5%	0.4%	-	2.5%	-	0.4%
Personal Tax	99.2%	-	-	-	-	-	0.8%	-
Other Offices	100.0%	-	-	-	-	-	-	-
Total	94.8%	0.7%	2.9%	0.1%	0.1%	1.0%	0.1%	0.1%

Appendix 5 : Applicants and recipients of promotion

Table 26: Applications resulting in successful Promotions to Grade 6 and 7 (including those promoted through the Fast Stream Programme)-breakdown by main ethnic groups and by Business Unit

Percentage of G6 & 7 Permanent Promotions by Business Stream						
Business Stream	White	Mixed	Asian	Black	Chinese or other	Total BME
Benefits & Credits	100.0%	-	-	-	-	-
Business Tax	94.1%	2.9%	-	2.9%	-	5.8%
Corporate Services	97.7%	-	2.3%	-	-	2.3%
Enforcement & Compliance	93.6%	2.1%	3.2%	1.1%	-	6.4%
Personal Tax	95.9%	-	-	2.0%	2.0%	4.1%
Other Offices	100.0%	-	-	-	-	-
Total	95.3%	1.3%	1.7%	1.3%	0.4%	4.7%

Table 27: Applications resulting in successful Promotions to Grade 6 and 7 (including those promoted through the Fast Stream Programme)-breakdown by all ethnic groups and by Business Unit

Business Unit	White	Mixed		Asian or British Asian	Black or Black British		Chinese or Other ethnic group
	Any white background	White and Asian	Other Mixed	Indian	Caribbean	African	Chinese
Benefits & Credits	100.0%	-	-	-	-	-	-
Business Tax	94.1%	2.9%	-	-	2.9%	-	-
Corporate Services	97.7%	-	-	2.3%	-	-	-
Enforcement & Compliance	93.6%	1.1%	1.1%	3.2%	1.1%	-	-
Personal Tax	95.9%	-	-	-	-	2.0%	2.0%
Other Offices	100.0%	-	-	-	-	-	-
Total	95.3%	0.8%	0.4%	1.7%	0.8%	0.4%	0.4%

Appendix 5 : Applicants and recipients of promotion

Table 28: SCS Leadership Gateway applicants– breakdown by Business Unit

Business Unit	White	Mixed	Asian	Black	Chinese or other	Total BME
Benefits & Credits	100.0%	-	-	-	-	-
Business Tax	85.7%	-	14.3%	-	-	14.3%
Enforcement & Compliance	100.0%	-	-	-	-	-
Personal Tax	100.0%	-	-	-	-	-
Total	94.7%	-	5.3%	-	-	5.3%

Table 29: SCS Leadership Gateway successful applicants– breakdown by Business Unit

Business Unit	White	Mixed	Asian	Black	Chinese or other	Total BME
Benefits & Credits	-	-	-	-	-	-
Business Tax	100.0%	-	-	-	-	-
Enforcement & Compliance	-	-	-	-	-	-
Personal Tax	-	-	-	-	-	-
Total	100.0%	-	-	-	-	-

Appendix 6 : Appraisal

Table 30: Appraisal markings (2006-07) – breakdown by all ethnic groups

Marking	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Top	15.99%	8.99%	10.42%	13.01%	16.58%	12.80%	11.59%	14.29%	15.10%	11.62%	9.00%	30.77%	15.31%	13.39%
Good	80.50%	87.64%	85.42%	82.93%	77.89%	83.78%	82.05%	84.62%	80.73%	82.23%	85.33%	69.23%	80.61%	83.93%
Improvement needed	0.75%	-	-	1.63%	1.51%	1.24%	2.95%	-	1.56%	2.51%	2.67%	-	1.02%	0.89%
Not assigned	2.55%	2.25%	4.17%	2.44%	4.02%	2.01%	3.18%	1.10%	2.60%	3.42%	2.33%	-	3.06%	1.79%
Not Applicable	0.20%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%
Subject to poor performance procedures	0.21%	1.12%	-	0.81%	-	0.06%	0.45%	1.10%	-	-	1.00%	-	-	0.89%
Promotion marking	28.58%	29.21%	27.08%	21.14%	26.13%	28.79%	20.00%	29.67%	24.48%	29.38%	25.00%	53.85%	30.61%	33.93%

Appendix 6 : Appraisal

Table 31: Appraisal markings (2006-07) – breakdown by all ethnic groups, by grade (AA)

Percentages of appraisal markings - Admin Assistant														
	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Marking	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Top	12.9%	5.6%	-	-	4.2%	13.1%	4.2%	3.8%	18.9%	12.5%	4.4%	-	6.7%	21.7%
Good	83.3%	88.9%	85.7%	100.0%	91.7%	83.1%	89.6%	96.2%	75.7%	79.7%	88.9%	100.0%	93.3%	78.3%
Improvement needed	1.2%	-	-	-	4.2%	1.6%	3.1%	-	5.4%	3.1%	2.2%	-	-	-
Not assigned	2.4%	5.6%	14.3%	-	-	2.2%	2.1%	-	-	3.1%	2.2%	-	-	-
Not Applicable	0.2%	-	-	-	-	-	1.0%	-	-	1.6%	2.2%	-	-	-
Subject to poor performance procedures	0.3%	-	-	-	-	-	1.0%	-	-	-	2.2%	-	-	-
Promotion marking	29.6%	22.2%	28.6%	14.3%	16.7%	34.7%	21.9%	42.3%	40.5%	26.6%	22.2%	100.0%	20.0%	43.5%

Appendix 6 : Appraisal

Table 31: Appraisal markings (2006-07) – breakdown by all ethnic groups, by grade (AO)

Percentages of appraisal markings - Assistant Officer														
	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Marking	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Top	11.9%	9.3%	4.0%	10.9%	9.9%	12.4%	9.0%	15.8%	14.9%	10.3%	9.9%	33.3%	12.2%	5.4%
Good	84.6%	88.4%	92.0%	81.8%	84.5%	84.3%	82.8%	84.2%	80.6%	81.8%	83.8%	66.7%	79.6%	94.6%
Improvement needed	0.9%	-	-	3.6%	1.4%	1.6%	3.7%	-	-	3.6%	3.6%	-	2.0%	-
Not assigned	2.4%	-	4.0%	3.6%	4.2%	1.8%	4.5%	-	4.5%	4.2%	2.7%	-	6.1%	-
Not Applicable	0.2%	2.3%	-	-	-	-	-	-	-	-	-	-	-	-
Subject to poor performance procedures	0.3%	2.3%	-	1.8%	-	0.1%	-	2.6%	-	-	-	-	-	2.7%
Promotion marking	19.9%	23.3%	16.0%	10.9%	15.5%	23.7%	12.7%	23.7%	22.4%	30.3%	26.1%	33.3%	26.5%	21.6%

Appendix 6 : Appraisal

Table 31: Appraisal markings (2006-07) – breakdown by all ethnic groups, by grade (O)

Percentages of appraisal markings - Officer														
	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Marking	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Top	18.0%	12.5%	25.0%	14.8%	22.0%	13.0%	28.0%	17.6%	17.3%	11.6%	5.5%	33.3%	21.4%	8.3%
Good	78.4%	87.5%	75.0%	81.5%	76.3%	83.5%	69.3%	76.5%	78.8%	82.9%	87.9%	66.7%	78.6%	87.5%
Improvement needed	0.6%	-	-	-	1.7%	1.1%	1.3%	-	1.9%	2.1%	2.2%	-	-	4.2%
Not assigned	2.8%	-	-	3.7%	-	2.2%	1.3%	5.9%	1.9%	3.4%	3.3%	-	-	-
Not Applicable	0.1%	-	-	-	-	0.2%	-	-	-	-	1.1%	-	-	-
Subject to poor performance procedures	0.1%	-	-	-	-	-	1.3%	-	-	-	1.1%	-	-	-
Promotion marking	33.6%	43.8%	25.0%	22.2%	35.6%	32.6%	34.7%	29.4%	25.0%	28.8%	29.7%	100.0%	57.1%	37.5%

Appendix 6 : Appraisal

Table 31: Appraisal markings (2006-07) – breakdown by all ethnic groups, by grade (HO)

Percentages of appraisal markings - Higher Officer														
	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Marking	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Top	21.7%	20.0%	33.3%	25.0%	25.0%	12.4%	22.2%	28.6%	12.5%	16.7%	18.4%	-	28.6%	18.2%
Good	75.0%	80.0%	66.7%	75.0%	70.8%	85.7%	77.8%	71.4%	83.3%	81.0%	81.6%	100.0%	71.4%	81.8%
Improvement needed	0.5%	-	-	-	-	-	-	-	-	-	-	-	-	-
Not assigned	2.6%	-	-	-	4.2%	1.9%	-	-	4.2%	2.4%	-	-	-	-
Not Applicable	0.2%	-	-	-	-	-	-	-	-	-	-	-	-	-
Subject to poor performance procedures	0.1%	-	-	-	-	-	-	-	-	-	2.6%	-	-	-
Promotion marking	42.9%	40.0%	83.3%	56.3%	41.7%	28.6%	44.4%	14.3%	16.7%	35.7%	13.2%	-	28.6%	36.4%

Appendix 6 : Appraisal

Table 31: Appraisal markings (2006-07) – breakdown by all ethnic groups, by grade (SO)

Percentages of appraisal markings - Senior Officer														
	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Marking	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Top	26.1%	-	-	33.3%	22.2%	21.1%	-	-	-	8.3%	-	100.0%	50.0%	30.0%
Good	70.6%	-	100.0%	66.7%	55.6%	76.3%	100.0%	100.0%	100.0%	91.7%	87.5%	-	50.0%	70.0%
Improvement needed	0.3%	-	-	-	-	-	-	-	-	-	12.5%	-	-	-
Not assigned	2.8%	100.0%	-	-	22.2%	2.6%	-	-	-	-	-	-	-	-
Not Applicable	0.2%	-	-	-	-	-	-	-	-	-	-	-	-	-
Subject to poor performance procedures	0.1%	-	-	-	-	-	-	-	-	-	-	-	-	-
Promotion marking	34.8%	-	-	33.3%	-	36.8%	-	50.0%	-	33.3%	37.5%	100.0%	33.3%	40.0%

Appendix 6 : Appraisal

Table 31: Appraisal markings (2006-07) – breakdown by all ethnic groups, by grade (Fast Stream)

Percentages of appraisal markings - Fast Stream														
	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Marking	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Top	4.6%	-	-	-	-	-	-	-	-	-	-	-	-	-
Good	89.2%	100.0%	-	100.0%	-	88.9%	100.0%	-	100.0%	100.0%	100.0%	-	100.0%	50.0%
Improvement needed	1.5%	-	-	-	-	-	-	-	-	-	-	-	-	-
Not assigned	4.6%	-	-	-	-	-	-	-	-	-	-	-	-	50.0%
Not Applicable	-	-	-	-	-	11.1%	-	-	-	-	-	-	-	-
Subject to poor performance procedures	0.6%	-	-	-	-	-	-	-	-	-	-	-	-	-
Promotion marking	15.7%	-	-	-	-	11.1%	-	-	-	-	-	-	50.0%	-

Appendix 6 : Appraisal

Table 31: Appraisal markings (2006-07) – breakdown by all ethnic groups, by grade (Grade 7)

Percentages of appraisal markings - Grade 7														
	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Marking	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Top	26.7%	-	-	-	57.1%	8.0%	-	-	-	20.0%	100.0%	-	-	20.0%
Good	70.3%	100.0%	-	100.0%	28.6%	84.0%	100.0%	-	100.0%	80.0%	-	-	100.0%	60.0%
Improvement needed	0.3%	-	-	-	-	-	-	-	-	-	-	-	-	-
Not assigned	2.4%	-	-	-	14.3%	4.0%	-	-	-	-	-	-	-	20.0%
Not Applicable	0.4%	-	-	-	-	4.0%	-	-	-	-	-	-	-	-
Subject to poor performance procedures	0.2%	-	-	-	-	-	-	-	-	-	-	-	-	-
Promotion marking	36.8%	66.7%	-	33.3%	57.1%	16.0%	50.0%	-	-	20.0%	100.0%	-	25.0%	60.0%

Appendix 6 : Appraisal

Table 31: Appraisal markings (2006-07) – breakdown by all ethnic groups, by grade (Grade 6)

Percentages of appraisal markings - Grade 6														
	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
Marking	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Top	33.4%	-	-	-	-	25.0%	-	100.0%	-	-	20.0%	-	-	-
Good	63.7%	100.0%	-	100.0%	80.0%	75.0%	100.0%	-	-	100.0%	80.0%	-	100.0%	-
Improvement needed	0.2%	-	-	-	-	-	-	-	-	-	-	-	-	-
Not assigned	2.4%	-	-	-	20.0%	-	-	-	-	-	-	-	-	-
Not Applicable	0.3%	-	-	-	-	-	-	-	-	-	-	-	-	-
Subject to poor performance procedures	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Promotion marking	29.7%	50.0%	-	-	40.0%	37.5%	50.0%	-	-	-	-	-	-	-

Table 32: Appraisal markings (2006-07) – analysis of results

Marking	Total BME	%	White	%	Total	%
Top	466	13%	7,804	16%	13,735	14%
Good	3,073	83%	39,578	81%	78,126	82%
Needs improvement	61	2%	370	1%	1,079	1%
Formal poor performance	8	0%	106	0%	362	0%
No assessment	81	2%	1,135	2%	2,007	2%
Total	3,689	100%	48,993	100%	95,309	100%

Notes:

1. This table enables us to compare the counts and percentages of staff by box-marking within BME and White groups.
2. The 2006-07 results show that 13% of ethnic minority and 16% of white received a 'top' marking.
3. The 2005-06 results showed that 10% of ethnic minority and 14% of white received a 'top' marking.
4. The shift from 10% to 13% top markings for ethnic minority staff shows an increase in top markings of 30%.
5. The shift from 14% to 16% top markings for white staff shows an increase in top markings of 14%.

Appendix 7 : Grievance procedures

Table 33: Grievance appeals – breakdown by all ethnic groups by grade

Grade	White	Mixed	Asian	Black	Chinese or other	Total BME
Grade 6	100.0%	-	-	-	-	-
Grade 7	100.0%	-	-	-	-	-
Higher Officer	100.0%	-	-	-	-	-
Officer	80.0%	-	-	20.0%	-	20.0%
Assistant Officer	77.3%	4.5%	18.2%	-	-	22.7%
Admin Assistant	75.0%	-	25.0%	-	-	25.0%
Total	80.6%	2.8%	13.9%	2.8%	-	19.4%

Table 34: Grievance appeals outcomes – breakdown by White and BME staff

Ethnicity	Staff in Post as at 1 April 2008	Grievances	Appeals Not Upheld	Appeals Partially Upheld	Appeals Upheld	Appeals Withdrawn
White	93%	81%	69%	87%	86%	100%
Total BME	7%	19%	31%	13%	14%	0%
Totals	100%	100%	100%	100%	100%	100%

Appendix 8 : Disciplinary procedures

Table 35: Disciplinary referrals – breakdown by all ethnic groups and by type of referral

Level	White	Mixed				Asian or British Asian				Black or Black British		Chinese or Other ethnic group	
	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Chinese	Other ethnic group
Level 0	85.9%	0.8%	0.3%	-	0.3%	5.6%	4.2%	0.3%	0.6%	1.1%	0.6%	0.3%	-
Level 1	92.1%	0.4%	0.4%	0.4%	0.4%	0.8%	3.0%	0.4%	0.4%	0.8%	0.8%	-	0.4%
Level 2	87.4%	-	-	-	-	4.2%	5.3%	1.1%	-	1.1%	1.1%	-	-
ND	89.7%	-	-	-	-	7.7%	-	-	-	-	2.6%	-	-
Total	88.5%	0.5%	0.3%	0.1%	0.3%	3.8%	3.7%	0.4%	0.4%	0.9%	0.8%	0.1%	0.1%

Level 0 = No case or no further formal action by Internal Governance or management

Level 1 - Potential Misconduct or awaiting local action

Level 2 - Potential Gross Misconduct

ND - Ongoing and not yet defined

Table 36: Disciplinary referrals – breakdown by main ethnic groups and by grade

Grade	White	Mixed	Asian	Black	Chinese or other	Total BME
SCS	100.00%	-	-	-	-	-
Grade 6	100.00%	-	-	-	-	-
Grade 7	94.74%	-	5.26%	-	-	5.3%
Band T	100.00%	-	-	-	-	-
Senior Officer	100.00%	-	-	-	-	-
Higher Officer	91.67%	-	5.56%	2.78%	-	8.3%
Officer	89.44%	2.11%	5.63%	2.11%	0.70%	10.6%
Assistant Officer	87.22%	1.23%	9.83%	1.47%	0.25%	12.8%
Admin Assistant	85.56%	1.11%	11.11%	2.22%	-	14.4%
Total	88.46%	1.19%	8.36%	1.72%	0.27%	11.5%

Table 37: Disciplinary referrals – breakdown by main ethnic groups and by Business Unit

Business Unit	White	Mixed	Asian	Black	Chinese or other	Total BME
Benefits & Credits	95.00%	1.25%	3.75%	-	-	5.00%
Business Tax	81.82%	-	18.18%	-	-	18.18%
Enforcement & Compliance	85.31%	0.70%	10.14%	3.15%	0.70%	14.69%
Personal Tax	89.90%	1.63%	7.49%	0.98%	-	10.10%
Corporate Services	89.29%	1.79%	7.14%	1.79%	-	10.71%
Other Offices	100.00%	-	-	-	-	-
Total	88.46%	1.19%	8.36%	1.72%	0.27%	11.54%

Appendix 9 : Training

Table 38: Training nominations satisfied – breakdown by all ethnic groups

	White	Mixed				Asian or British Asian				Black or Black British			Chinese or Other ethnic group	
	Any white background	White and Black Caribbean	White and Black African	White and Asian	Other Mixed	Indian	Pakistani	Bangladeshi	Other Asian	Caribbean	African	Other Black	Chinese	Other ethnic group
Nominations satisfied in 2006-07	93.18%	0.16%	0.10%	0.28%	0.45%	3.17%	0.71%	0.09%	0.28%	0.67%	0.56%	0.03%	0.14%	0.18%
Nominations satisfied in 2007-08	92.55%	0.16%	0.10%	0.29%	0.36%	3.33%	0.88%	0.19%	0.31%	0.76%	0.61%	0.02%	0.19%	0.28%
Change in % of nominations satisfied between 2006-07 and 2007-08	-0.63	-0.01	0.00	0.01	-0.09	0.16	0.18	0.10	0.02	0.09	0.05	-0.02	0.04	0.10

(a) Message to staff published on 1 October 2007

“Chairman and unions support diversity data campaign

We asked our senior managers, last month, to tell us about their ethnic origin, their nationality and whether they are disabled. We followed that with requests to Debt Management and Banking and the Contact Centres. The response has been excellent with over 17,500 of you making a declaration so far.

Chairman Paul Gray and the unions are now asking everyone to follow that lead.

It's a small step for you to take, but it has important consequences. Your information will help us check that our policies and procedures are fair to everyone in the Department.

The Association of Revenue and Customs (ARC) and the Public and Commercial Services Union (PCS) are backing the campaign.

Please respond in this week

In September we changed Online HR so that our categories for ethnic origin reflect the Commission for Racial Equality's definitions. This helps us meet our reporting requirements under the legislation.

Though many of you have already entered your diversity data onto the system, the changes mean we need you to do so again - unless you have done this since 5 September. We're sorry for the inconvenience, but this is the only way to make sure our data fits the new definitions.

What to do

On the intranet, go to: From Online HR> Employee Self-Service > Personal Information > Additional Diversity Data.

Please complete the 'Ethnic Origin', 'National ID' and 'Disability Type' fields by choosing the correct options from the drop-down boxes, and save your changes. If you do not have a disability please select the 'non-disabled' option from the drop-down menu.

If you don't want to disclose this information, each field has an option for you to say you do not wish to do so.

When to do it

To avoid overloading the Online HR system, we're asking people to stagger their access as follows:

Monday 1 October – Customer Contact and Debt Management and Banking

Tuesday 2 October - National Processing

Wednesday 3 October - PAYE and SA processing and Detection

Thursday 4 October - Local Compliance and the Large Business Service

Friday 5 October – everyone else

It would be helpful if you could also avoid the peak times of 7 to 8am and 12 noon to 2pm. If you're not around during the week commencing 1 October please do this as soon as you can.

Continued overleaf

10(a) Message to staff published on 1 October 2007 (continued)

Joint letter

In their joint letter the unions and Paul Gray say:

“Providing diversity data is one simple but extremely significant way in which you can contribute to making HMRC a fair place to work, where everyone has an equal chance to reach their full potential.”

“Together, we want to assure you that the data that you provide will be:

- kept confidential,
- used only to provide anonymised statistics, and
- not used to look at the circumstances of any individual, for positive action or to support any programme of positive discrimination.”

More information (hyperlinks to:)

Joint letter from Paul Gray and the unions

Managers’ briefing to answer your questions.

Phone the helpline on 020 7438 4301 or email them if you have further questions.

(Name of Author) Internal Media Team

10(b) Follow-up message to staff of 10 October 2007

“Take two minutes to help HR

More than 45,000 people have so far updated their online HR information, but the Department still needs more staff to complete their ethnicity and disability data.

Chris Hopson, the Department’s diversity champion, said: “I’d like to thank everyone who has submitted their information so far. It’s only a two-minute job and we need everyone to follow their example.”

Accurate ethnicity and disability information is essential so HMRC and the trade unions can produce policies and procedures that are fair to all. The Department also has a legal obligation to provide diversity information to the Commission for Equality and Human Rights.

Read last week’s news story and the joint letter from the chairman and trade unions for further information.

Recording your data

Follow these instructions to record your diversity data:

1. Go to online HR
2. Select Employee Self-Service > Personal Information > Additional Diversity Data
3. Complete the ‘Ethnic Origin’ and ‘Disability Type’ fields by choosing the correct options from the drop-down boxes
4. If you do not have a disability, please select the ‘non-disabled’ option from the drop-down menu
5. If you don’t want to disclose this information, each field has an option for you to say you do not wish to do so
6. Save your changes

(Name of author) Internal Media Team “

10(c) Individual Business Unit Diversity Data reminder published in January 2008

“Diversity data campaign – updating your Online HR details

On 12 October 2007, we asked everyone in (name of Directorate) to complete their ethnicity and disability status on Online HR. This update is necessary because the current information is insufficient to allow HMRC to complete its report under equalities legislation. Within () the information would also allow us to monitor compliance with and operation of various HR processes. This includes the PDE system, across (name of Directorate) to ensure everyone is treated fairly and consistently irrespective of the area in which they work, grade, gender, ethnic origin or whether they have a disability.

So far within (name of Directorate) 70% of you have completed the ethnic origin declaration and 54% have completed the disability declaration, thank you. However nearly 600 of you have still not completed either declaration and a further 300 of you have only completed the ethnic origin declaration. If you do not have a disability or do not want to say, you still need to complete the declaration and should respond with ‘Non-disabled’ or ‘Choose not to declare’.

If you have not already done so, please now complete both declarations as soon as possible. It only takes a few minutes and the link above explains the steps you need to take but the information that you provide is invaluable in terms of what it can provide.”