

days respectively) and was higher for BAME staff (11.8

days) compared to White staff (9.6 days).



Her Majesty's Prison and Probation Service (HMPPS) Annual Staff Equalities Report 2019/20

Main points

10.0 working days due to

sickness

52,928 staff in post as at 31 March 2020	1	This was an increase of 0.6% compared to the same point in 2019. Females represented 49.0% of staff, and 10.4% of
Mai on 2020		staff who declared their ethnicity were BAME.
5,206 new recruits to HMPPS in 2019/20	O	This was 3,268 (38.6%) less than in 2018/19. Females accounted for 54.1% of joiners and more than half of joiners (50.3%) were aged under 30 years old.
2,599 staff (5.5%) were receiving temporary cover allowances (TCA)	O	This was a decrease of 0.4 percentage points compared to 31 March 2019. TCA rates were higher for males (5.7%) compared to females (5.3%).
4.6% of permanent staff were promoted, an equivalent of 2,409 promotions	O	A decrease from the rate of 5.2% (2,626 promotions) in 2018/19. The promotion rate for female staff was higher in 2019/20 at 5.0% (1,257) than for males at 4.3% (1,152). BAME staff had a lower promotion rate at 4.9% than White staff at 5.1%.
904 staff raised grievances, representing 1.7 per 100 staff	①	These resulted in 1,055 cases of which 385 (36.5%) were upheld/ partially upheld. The number of grievance cases raised during the year increased compared to 2018/19, but the percentage of cases being upheld/partially upheld decreased by 5.4 percentage points (from 41.9%).
Overall rate of conduct & discipline cases was 1.1 per 100 staff	•	Down from 1.2 per 100 staff in for 2018/19. In 2019/20, the rate was higher for male staff (at 1.5 per 100 male staff) compared to female staff (at 0.7 per 100 female staff).
HMPPS staff lost an average of	Ω	An increase from 9.3 days for 2018/19. For 2019/20, the average was higher for female than male staff (10.3 and 9.7

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

Please send any feedback you may have related to the content of this publication to: statistics.enquiries@justice.gsi.gov.uk

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 several 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 2020, 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 2019/20:

https://www.gov.uk/government/publications/hmpps-annual-report-and-accounts-2019-20

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

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

Staff Process Protected Characteristic

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 2019/20 will also be published on 26 November 2020 and available at:

https://www.gov.uk/government/statistics/announcements/hm-prison-and-probation-service-offender-equalities-report-2019-to-2020

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. There has been a large increase in declarations in the last year, meaning that some of these characteristics have just reached the threshold 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 further, and recent figures in the latest HMPPS Quarterly Workforce Bulletin show increases for all characteristics, particularly for religion cand sexual orientation.

COVID-19

The report presents data for the financial year 2019/20, and although staff may have been impacted by COVID in the first quarter of 2020, it is not possible to establish what impact (if any) it has had on 2019/20 sick absence, as the data held centrally, at that point, did not distinguish between COVID and non-COVID sickness absence and more importantly the testing capability was not in place.

In addition for 2019/20, the usual process for SPDR assessment at year end in HMPPS was suspended due to COVID-19, with the aim of relieving staff of some of the administrative burden around the end of year performance management process at a difficult time. Given the exceptional circumstances, managers were only required to record a rating for those staff assessed as 'outstanding'. This means that for 2019/20 the majority of staff would have been awarded with a 'good' marking, including those whose performance may have dipped to 'improvement required'.

1. Summary findings

Staff in Post and New Joiners

- 1. As at 31 March 2020, there were **52,928** staff (headcount) in HMPPS, an increase of **305** (**0.6**%) on the previous year.
- 2. Females accounted for **49.0% (25,948)** of staff in HMPPS as at 31 March 2020, an increase of **1.1** percentage points on the previous year.
 - 40.3% (83) 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 66.1% (115) of staff in senior NPS roles (NPS bands A-D), 71.3% (846) in NPS bands 5-6, and 77.8% (7,776) 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 of 26.8% (14.175) of all staff.
- 4. As at 31 March 2020, **10.4% (4,625)** of HMPPS staff declared themselves as Black, Asian or Minority Ethnic (BAME).
- 5. In the 12 months to 31 March 2020, there were **5,206** new recruits to HMPPS. This was 3,268 (38.6%) less than in 2018/19.
- 6. Females accounted for **54.1**% of joiners and more than half of joiners (**50.3**%) were aged under 30 years old.

Temporary cover and Promotions

- 7. In 2019/20, a higher rate of males were receiving temporary cover allowance (TCA) at **5.7**% compared to **5.3**% of females.
- 8. **5.3**% of BAME staff were receiving temporary cover payments as at 31 March 2020, compared to **5.9**% of White staff.
- 9. The promotion rate for female staff was higher in 2019/20 at **5.0%** (**1,257**) than for males at **4.3%** (**1,152**). This is a consistent trend over the past 4 years.
- 10. In 2019/20, staff aged 30-39 had the highest rate of promotion at **7.0**% of staff in post compared to **2.8**% for the 50-59 age group and **0.6**% for staff over 60.
- 11. BAME staff had a lower promotion rate at 4.9% than White staff at 5.1% in 2019/20.

Staff Appraisals and Special Bonuses

- 12. 10.2% of all staff markings for 2019/20 were 'Outstanding'.
- 13. Female staff were awarded a higher proportion of 'Outstanding' markings (12.9%) than male staff (7.6%).
- 14. The proportion of staff receiving 'Outstanding' markings was lower among Black staff (**4.7**%) than any other group.
- 15. In 2019/20, both the rate of bonuses awarded and the average value of those awarded were higher for White staff, at **4.1** per 100 staff (£**667** each), than for declared BAME staff, **3.8** per 100 staff (£**611** each).
- 16. The rate of bonuses awarded in 2019/20 to those who self-declared as disabled was **3.9** per 100 people, lower than that for bonuses awarded to non-disabled staff (**4.3** per 100 people).

<u>Grievances</u>, <u>Investigations and Conduct & Discipline</u>

- 17. Of the **904** grievance cases concluded in 2019/20, **36.5**% (**385**) were upheld or partially upheld.
- 18. Overall, female staff raised grievances in 2019/20 at the same rate as males did at **1.7** per 100 staff.
- 19. The overall rate of grievances raised per 100 staff was higher by BAME staff compared to White staff, at **2.6** per 100 and **1.7** per 100 staff respectively.
- 20. Overall, male staff were investigated at more than double the rate of female staff in 2019/20, at **3.7** per 100 males compared to **1.7** per 100 females. The rate of conduct cases involving male staff was also more than double the rate for female staff, **1.5** per 100 male staff compared to **0.7** per 100 female staff.
- 21. The proportion of BAME staff investigated in 2019/20 was higher than the proportion of White staff investigated, **3.5** per 100 staff compared to **2.5**. Similarly, a larger proportion of BAME staff, **1.4** per 100 staff, were subject to conduct and discipline action than White staff at **1.0** per 100 staff.

Sickness and Leavers

- 22. In 2019/20, the average working days lost (AWDL) due to sickness absence was **10.0**, a **0.6** percentage point increase from 9.3 in 2018/19.
- 23. The AWDL to sickness absence was slightly higher for female staff at **10.3** days, than for male staff at **9.7** days.
- 24. The AWDL was 11.8 days for BAME staff and 9.6 days for White staff.
- 25. The leaving rate of HMPPS staff was 10.5%, an increase of 0.5 percentage points since 2018/19.
- 26. The leaving rate for female staff was lower in the 12 months ending 31 March 2020 at **9.7**% than the rate for male staff at **11.3**%.

2. Total staff in post

There were 52,928 staff in post as at 31st March 2020, 0.6% more than at the same date in 2019. Females accounted for 49.0% of staff, the age band with the largest proportion of staff was 50-59 year olds (26.8%) and 10.4% of staff who declared their ethnicity were BAME.

As at 31 March 2020, there were **52,928** staff (headcount) in HMPPS, an **increase** of **305** (**0.6**%) on the previous year. This consisted of **28,886** staff in operational grades, **11,354** in the National Probation Service (NPS) grades, and **12,687** 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.

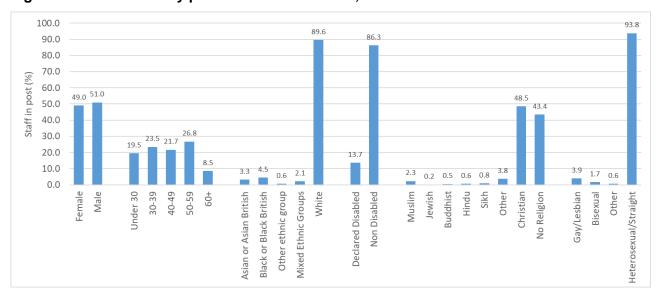


Figure 1: HMPPS staff by protected characteristic, as at 31 March 2020

Females accounted for **49.0**% (**25,948**) of HMPPS staff as at 31 March 2020, an increase of **1.1** percentage points on their representation for the previous year when it was 47.9% (**25,222** females).

40.3% (**83**) of senior leaders in public prisons and HMPPS HQ (Senior Civil Servants and operational managers including governors) were female. Furthermore, females accounted for **36.2**% (**308**) of operational manager bands 7-9, **28.4**% (**6,487**) of prison officer bands 3-5, and **46.4**% (**2,330**) 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); **55.2**% in non-operational manager grades (down by **0.6** percentage points from **55.8**% in March 2019), and **65.1**% in non-operational grades below management level (down **0.3** percentage points from **65.4**% since the previous year) were female.

The NPS¹ had higher female representation than the other parts of HMPPS. Females predominated in the NPS at all levels, comprising of **66.1**% (**115**) of staff in senior NPS roles (NPS bands A-D),

¹ 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.

71.3% (**846**) in NPS bands 5-6, and **77.8**% (**7,776**) in NPS grades below management level (which includes probation officers at band 4).

As at 31 March 2020, the age band with the largest proportion of staff was those aged 50-59, comprising of **26.8% (14,175)** of all staff. The proportion of those aged over 40 as at 31 March 2020 stood at **57.0%** (**30,155**), an increase of **0.3** percentage points since the previous year whilst those aged under 30 represented **19.5%** (**10,347**) of the HMPPS workforce, a decrease of **0.5** percentage points compared to 31 March 2019.

By grade, the 50-59 age band had the highest proportion of staff across all the grades, except for band 3-5 officers (23.8% (5,422) compared to 26.6% (6,064) aged under 30), those at NPS management grade band 5-6 (29.0% (344) compared to 35.1% (416) aged 40-49), and those at NPS grades below management level (23.7% (2,368) compared to 24.5% (2,452) aged 30-39).

As at 31 March 2020, **84.1%** of staff had declared their ethnicity. Of these, **10.4% (4,625)** were in a Black, Asian or Minority Ethnic (BAME) group. There were some differences between the groups within the BAME category, with **4.5%** 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 **5.3% (44)**, a decrease of 0.6 percentage points compared to the previous year **(5.9%)**.

75% of staff had declared their disability, which was above the 60% threshold at which meaningful representation rates can be considered. Similarly, **68.7**% of staff had declared their religion, and **69.5**% their sexual orientation. This is the first time in the time series shown that these were above 60% threshold.

As of 31 March 2020, there were **13.7%** of staff who declared themselves as disabled compared to **86.3%** who declared themselves as non-disabled. By grades, the proportion of disabled staff was lower compared to non-disabled staff across all grade groups, where the lowest disability representation rate was for band 3-5 officers at **9.1% (1,407)**. Of the 68.7% of staff who had declared their religion, **48.5%** were Christian, **43.4%** had no religion and **8.2%** were non-Christian. There were some differences between the groups within the non-Christian Religion category, with most non-Christian staff being Muslim or Other at **2.3%** and **3.8%** respectively, compared to **0.2%** of staff who declared as Jewish. Of those who had declared their sexual orientation as at 31 March 2020, **93.8%** were heterosexual/straight compared to **6.2%** of staff declaring themselves as LGB (Lesbian, Gay, Bisexual and Other). Where numbers are large enough to disclose, higher proportions of heterosexual staff compared to LGB staff were seen across all the grade groups.

3. Joiners

There were 5,206 new recruits to HMPPS in 2019/20; 3,268 less than in 2018/19 and a 38.6% decrease. Females accounted for 54.1% of joiners and more than half of joiners (50.3%) were aged under 30 years old.

The number of staff appointed to HMPPS increased from 4,058 in 2016/17 to 8,474 in 2018/19, but then decreased in the latest year to **5,206** in 2019/20. During 2019/20, HMPPS recruited 3,268 less staff than in 2018/19, a decrease of **38.6**%. This large decrease was primarily due to the completion of the government commitment to increase prison officer numbers by 2,500 by the end of December 2018. Although, the largest group of recruits was still to band 3 to 5 officers, with **2,317** appointed in the 12 months to 31 March 2020. Figure 2 shows a breakdown of joiners across the available protected characteristics; additional details can also be found in the tables 2a and 2b.

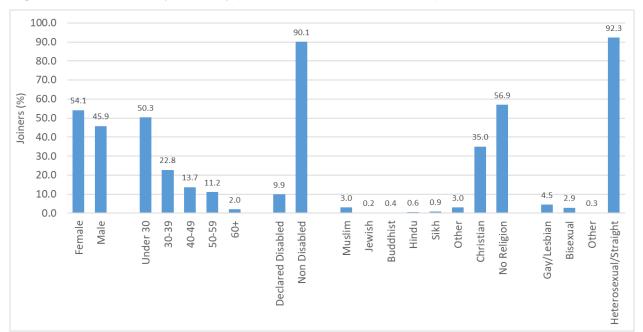


Figure 2: HMPPS new joiners by protected characteristic, 1 April 2019 to 31 March 2020

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

Overall, **45.9**% of those who joined HMPPS were male and **54.1**% were female. This varied by grade with band 3-5 officer joiners being the only grade where staff were largely male (**60.4**%) compared to other grades such as non-operational joiners below management level where the majority of joiners were female (**64.9**%). Females also made up the vast majority of new recruits to NPS grades, both at management and below management level, accounting for **75.0**% and **77.2**% of new joiners respectively.

More than half of new joiners (**50.3%**, equivalent to **2,621** individuals) in 2019/20 were aged under 30 whilst **26.9%** (1,399) were aged 40 or older. Specifically, **59.6%** (1,380) 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 (for example, **67.6%** of non-operational managers).

Declaration rates of joiners by race, disability, religion and sexual orientation have again increased in the latest financial year. Whilst these are now high enough for disability, religion and sexual

orientation to allow meaningful analysis by these protected characteristics, the declaration rate for race is still too low.

Of the 62.2% of joiners that declared their disability status in 2019/20, **9.9**% were self-declared as being disabled compared to **90.1**% of non-disabled staff. There was a higher proportion of joiners who declared themselves as having no religion (**56.9**%) compared to those belonging to a religious group (**43.1**%, of which **35.0**% were Christian and **8.0**% were non-Christian). Within the non-Christian religions, there was a higher proportion of Muslim and 'Other' joiners at **3.0**% for both, compared to the other religions which had proportions of less than 1%. Of those who had declared their sexual orientation, a higher proportion of recruits were heterosexual/straight at **92.3**% compared to **7.7**% who were Lesbian, Gay, Bisexual and Other (LGB). Of the LGB categories, Gay/Lesbian staff made up the largest proportions of joiners at **4.5**% compared to bisexual and 'other' (**2.9**% and **0.3**% respectively).

4. Temporary cover

As at 31 March 2020, 2,599 staff (5.5%) were receiving temporary cover allowances.

TCA rates were higher for males, those aged 30-39 years old, White staff, non-disabled staff, and those with no religious beliefs.

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.

As at 31 March 2020, **2,599** staff were receiving Temporary Cover Allowances (TCA) for filling posts of a higher grade on a temporary basis. This represents **5.5**% of staff, a decrease from **5.9%** 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.

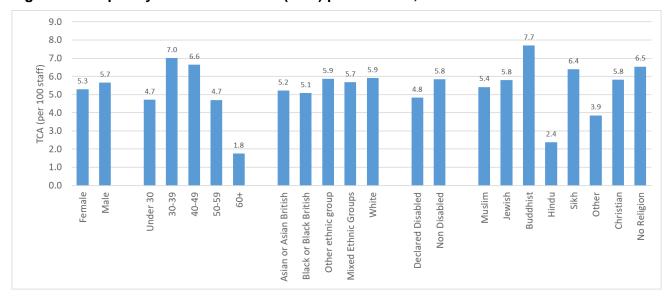


Figure 3: Temporary cover allowances (TCA) per 100 staff, as at 31 March 2020

Note: Sexual orientation breakdowns are not shown due to low declaration rates.

As at 31 March 2020, **5.3**% of females were on temporary cover compared to **5.7**% of males. Males had higher rates of TCAs in operational roles (operational managers and officers) whereas in non-operational and NPS manager grades females tended to have higher rates of TCAs than men. There were differences in the gender balance by grade group, most notably for non-operational below managers (**4.8**% of females and **3.8**% of males were on TCA) and non-operational managers (**8.6**% of females and **7.6**% of males were on TCA).

Temporary cover payments were most prevalent amongst those aged 30 to 39 and 40 to 49 (7.0% and 6.6% respectively), compared to 4.7% of under 30s, 4.7% of 50 to 59 year olds, and 1.8% of staff aged 60 or over.

As at 31 March 2020, **5.3**% of BAME staff were receiving temporary cover payments compared to **5.9**% of White staff. Last year, 5.6% of BAME staff and 6.9% 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 Other Ethnic group had the highest rate of receiving TCAs at **5.9**%.

The proportion of staff receiving temporary cover allowances was lower amongst disabled staff compared to non-disabled (**4.8**% and **5.8**% respectively as at 31 March 2020). This was seen across all grades apart from band 3-5 officers where more disabled staff received temporary cover payments compared to white staff (**6.7**% and **6.2**% respectively).

As at 31 March 2020, **4.7**% of non-Christian staff were receiving temporary cover payments, compared to **5.8**% of Christian staff and **6.5**% of staff with no religion. Within the non-Christian religion subset groups, **7.7**% of those who self-declared as being Buddhist were receiving TCA.

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

5. Promotions

In 2019/20, 4.6% of permanent staff were promoted, an equivalent of 2,409 promotions.

The rate of promotions was higher for: females, those aged 30-39 years old, White, non-disabled, and staff who identified as LGB.

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.

In 2019/20, **4.6**% of staff were promoted (the equivalent of **2,409** promotions within the year), a decrease from the rate of 5.2% (2,626 promotions) in 2018/19.

The rate of promotions, which represents the number of individuals promoted per 100 staff, in 2019/20 across all protected characteristics is illustrated in figure 4. Additional details on promotions can also be found in tables 4a and 4b.

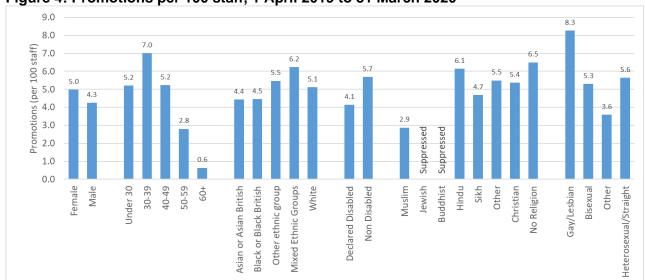


Figure 4: Promotions per 100 staff, 1 April 2019 to 31 March 2020

The promotion rate for female staff was higher in 2019/20 at **5.0%** (**1,257**) than for males at **4.3%** (**1,152**). Over the past 4 years, promotion rates have been consistently higher among female staff compared to male staff.

The rate of promotions generally declines as the age of staff increases. In 2019/20, staff aged 30-39 had the highest rate of promotion at **7.0**% of staff in post compared to **2.8**% for the 50-59 age group and **0.6**% for staff aged 60 and over.

In the 12 months ending 31 March 2020, BAME staff had a slightly lower promotion rate at **4.9**% than White staff at **5.1**%. Within the BAME groups, those identifying as mixed ethnic had the highest rate at **6.2**%. In relation to grades for 2019/20, band 3-5 officers and OSGs were the only grades where BAME staff had lower promotion rates than white staff. In all other grades, BAME staff had

higher promotion rates than white staff, with the biggest different being seen in operational managers (14.0% of BAME staff compared to 9.5% of white staff).

In 2019/20, the rate of promotion between staff who declared themselves disabled was lower than that of non-disabled staff, at **4.1**% and **5.7**% respectively. This pattern was seen across all grades apart from non-operational managers.

The declaration rates among promotions for religion and sexual orientation exceeded the 60% threshold at which meaningful interpretation can be made for the first time in the time series this year. The promotion rate was lower in non-Christian staff (4.5%) compared to Christian staff (5.4%) or those with no religion (6.5%). Staff who identified themselves as LGB (lesbian, gay, bisexual or other) had a higher rate of promotion compared to heterosexual staff (7.0% and 5.6% respectively).

6. Staff Appraisals

In 2019/20, 42,932 HMPPS staff received an appraisal rating. Of these, 10.2% were awarded 'Outstanding' appraisal ratings.

Staff Appraisal outcomes were worse for male staff, staff aged under 30 and over 60, Black staff, and disabled 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 or 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. For the financial year 2019/20, the usual process for SPDR assessment at year end in HMPPS was suspended due to COVID-19, with the aim of relieving staff of some of the administrative burden around the end of year performance management process at a difficult time. Given the exceptional circumstances, managers were only required to record a rating for those staff assessed as 'outstanding'. This means that the majority of staff would have been awarded with a 'good' marking, including those whose performance may have dipped to 'improvement required'. Therefore, for those two markings analysis and comparison with previous years are not possible. Staff on formal Managing Poor Performance measures are recorded separately and this process has continued as usual.

Further detail on appraisal ratings can be found in tables 5a and 5b.

In 2019/20, **42,932** HMPPS staff received an appraisal rating. Of these, **10.2**% were awarded an 'Outstanding' rating. The corresponding figure for 2018/19 was **16.1%**.

Figure 5 shows the percentage of staff receiving 'Outstanding' appraisal ratings in 2019/20, split by protected characteristic.

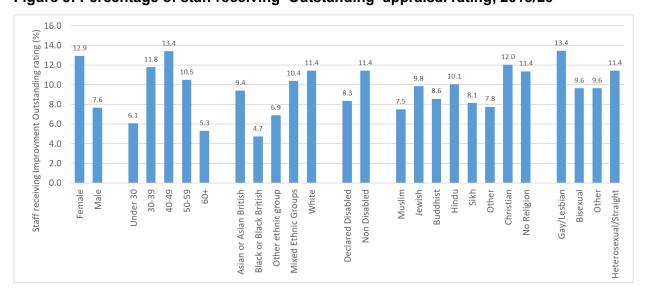


Figure 5: Percentage of staff receiving 'Outstanding' appraisal rating, 2019/20

In 2019/20, female staff were awarded a higher proportion of 'Outstanding' markings at **12.9**% compared to **7.6**% 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; the only exception was for OSGs where the proportion was the same for both males and females at **2.1**%.

The proportion of staff receiving 'Outstanding' ratings in 2019/20 varied with age whereby **6.1**% of staff aged under 30 received an 'Outstanding' rating, which then increased to **11.8**% for staff aged 30-39 and **13.4**% for staff aged 40-49. After this age group, the proportions then decreased with age to **10.5**% for staff aged 50-59 and **5.3**% of staff aged 60 and over. A similar pattern was seen in 2018/19.

BAME staff had worse outcomes than their White counterparts in terms of 'Outstanding' markings awarded. In 2019/20, **7.5**% of BAME staff received an 'Outstanding' marking compared to **11.4**% of White staff. Of the BAME staff, the proportion of staff receiving 'Outstanding' markings was lower among Black staff (**4.7**%) 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 **41.5**% of BAME staff received an 'Outstanding' marking compared to **31.4**% of White staff.

Staff who had declared themselves as disabled were awarded a lower proportion of 'Outstanding' markings at **8.3**% compared to **11.4**% of non-disabled staff. This pattern was also seen in the previous years.

The declaration rates for religion and sexual orientation exceeded the 60% threshold for the first time in the time series in 2019/20. In 2019/20, the proportion of non-Christian staff receiving 'Outstanding' ratings was lower than that of Christian staff (8.0% and 12.0% respectively); a pattern seen across all grade groups. Moreover, staff who declared themselves as LGB had received a higher proportion of 'Outstanding' ratings compared to heterosexual/straight staff in 2019/20; 12.0% and 11.4% respectively. This appeared to be the case across all grades (where declarations exceeded the threshold) except for NPS below management grades where a lower proportion of LGB staff received an 'outstanding' rating compared to their heterosexual/straight counterparts (9.8% and 10.5% respectively).

7. Special bonuses

The rate of special bonuses awarded to staff in 2019/20 was 3.6 per 100 staff.

The rate of bonuses awarded was higher for; Males (at 3.9 per 100 staff) compared to their female counterparts (3.4 per 100 staff), White staff (at 4.1 per 100 staff) compared to BAME staff (at 3.8 per 100 staff), and non-disabled staff (at 4.3 per 100 people) compared to disabled staff (at 3.9 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 2019/20 at **3.6** per 100 staff was higher than the rate awarded in 2018/19, **3.0** per 100 staff. The average value of the awards decreased from £**915** in 2018/19 to £**661** in 2019/20.

Across the grades, the rate of bonuses awarded was higher for managerial positions than for junior positions. In operational grades, operational managers were awarded bonuses at a rate of **27.8** per 100 staff compared to the more junior operational positions of band 3-5 officers at **3.2** per 100 staff, and OSGs at **0.4** per 100 staff. A similar pattern was seen for non-operational and NPS grades too; non-operational managers were awarded bonuses at **16.3** per 100 staff compared to non-operational below managers at **2.2** per 100 staff, and NPS management grades were awarded bonuses at **9.7** per 100 staff compared to NPS below management grades at **1.3** per 100 staff.

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).

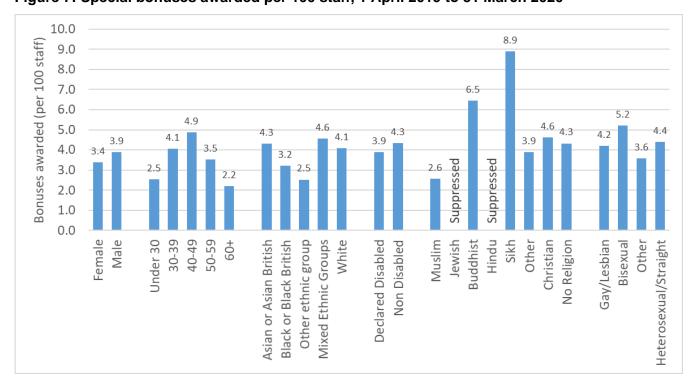


Figure 7: Special bonuses awarded per 100 staff, 1 April 2019 to 31 March 2020

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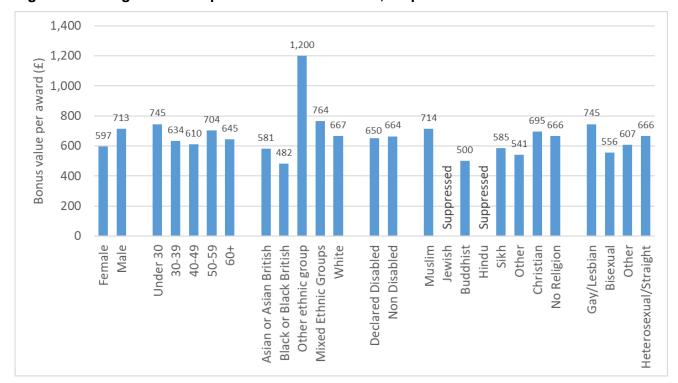


Figure 8: Average value of special bonuses awarded, 1 April 2019 to 31 March 2020

The rate of special bonuses awarded in 2019/20 was higher for males at **3.9** per 100 staff than for females at **3.4** per 100 staff. The average value of the bonuses was also higher for males who received an average of £**713** compared to females who received an average of £**513**. The rate of special bonuses awarded was higher for males than females across all grades except non-operational roles (both managers and junior positions).

In 2019/20, staff in the **40-49** age group had the highest rate of bonuses awarded at **4.9** per 100 staff, although the average value of bonuses for this age group was the lowest compared to the other age groups at £**610**. Staff aged 60+ had the lowest rates of bonuses at **2.2** per 100 staff. The age group with the highest average value of awards was those aged under 30 at £**745**.

In 2019/20, the rate of bonuses awarded to BAME staff was lower compared to White staff (3.8 compared to 4.1 per 100 staff respectively), and the average value of bonuses awarded was also lower with an average of £611 for BAME staff and £667 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 groups' were awarded the lowest bonuses at a rate of 2.5 per 100 staff, however, had the highest average value of £1200. In contrast, staff who declared themselves as 'mixed ethnic groups' were awarded the most bonuses at a rate of 4.6 per 100 staff but had a lower average value of £764.

The rate of bonuses awarded in 2019/20 to those who declared as disabled was **3.9** per 100 staff, compared to **4.3** per 100 staff for non-disabled staff. Moreover, the average value of these awards was slightly lower for those declared disabled at £650, compared to non-disabled at £664.

For 2019/20, **75.9**% of staff had declared their religion and **75.8**% of staff had declared their sexual orientation, which was above the 60% threshold at which meaningful representation rates can be considered. This is the first time in the time series shown that these were above 60% threshold.

In 2019/20, the rate of bonuses awarded to those who declared as Christian (**4.6** per 100 staff) was higher compared to those with no religion (**4.3** per 100 staff) and those affiliated with non-Christian religions (**4.1** per 100 staff). Of the non-Christian religions, the rate of bonuses awarded was higher for Sikh staff at **8.9** per 100 staff. Staff who declared themselves as LGB (Lesbian, Gay, Bisexual and Other) were awarded bonuses at the same rate as heterosexual staff (**4.4** per 100 staff), with very little difference in the average value of the awards (£**676** for LGB staff compared to £**666** for heterosexual/straight staff). Bisexual staff, individually, had the largest rate of bonuses awarded at **5.2** per 100 staff.

8. Grievances

In 2019/20, 904 staff raised grievances resulting in 1,055 cases. Of these cases, 36.5% were upheld/partially upheld.

The raising of grievances was higher for: BAME staff (at 2.6 per 100 staff) compared to White staff (at 1.7 per 100 staff), disabled staff (at 3.9 per 100 staff) compared to non-disabled staff (at 1.6 per 100 staff), and older staff (2.0 per 100 staff aged 60 or over, compared to 1.0 per 100 staff aged under 30).

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 2019/20, there were **904** staff who raised grievances, resulting in **1,055** cases. Of these cases, **36.5**% (**385** cases) were upheld or partially upheld, a decrease of **5.4** percentage points compared to the previous year. The overall figure for the number of grievances raised in 2019/20 represented **1.7** per 100 staff, slightly up from 2018/19 (1.6 per 100 staff). Across grade breakdowns, operational managers had the highest rate in terms of raising a grievance at **2.4** 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.

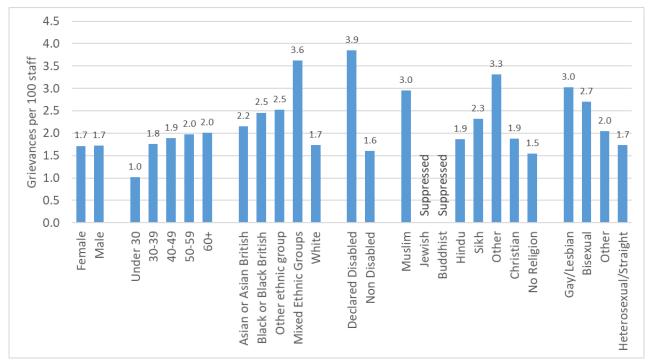


Figure 9: Number of staff per 100 staff raising grievances, 1 April 2019 to 31 March 2020

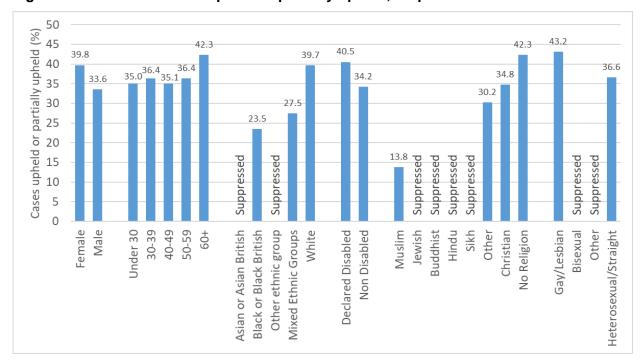


Figure 10: Percent of cases upheld or partially upheld, 1 April 2019 to 31 March 2020

Overall, female staff raised grievances in 2019/20 at the same rate as males did at **1.7** per 100 staff. Across grades, females raised fewer grievances compared to males in non-operational and NPS grades (both manager and junior grades), but not in operational grades (managers, band 3-5 officers 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 NPS management grade group (at **0.4** and **1.8** per 100 staff respectively). The percentage of cases upheld or partially upheld in 2019/20 was higher for females (**39.8**%) than for males (**33.6**%).

In 2019/20, there was a tendency for the rate of grievances to increase with age from **1.0** per 100 staff aged under 30 to **2.0** per 100 staff aged 60 and over. The proportion of cases upheld or partially upheld also increased with age, ranging from **35.0**% for staff aged under 30 to **42.3**% for staff aged 60 and over.

The overall rate of grievances raised per 100 staff was higher amongst BAME staff compared to White staff, at **2.6** per 100 and **1.7** per 100 staff respectively. The percentage of cases upheld or partially upheld was higher for White staff at **39.7**% compared to BAME staff at **21.8**%.

Overall, self-declared disabled staff raised more grievances, at a rate of **3.9** per 100 staff, than non-disabled staff, at **1.6** per 100 staff. This pattern was seen across all grades.

Declaration rates for religion and sexual orientation in 2019/20 exceeded the 60% threshold for which meaningful analysis can be considered for the first time in time series. Non-Christian staff raised more grievances than Christian staff, at **2.8** and **1.9** per 100 staff respectively. Considering grades where numbers are large enough to disclose, this pattern was seen across all grades. Christian staff had a higher proportion of cases being upheld or partially upheld at **34.8**% compared to non-Christian staff at **22.8**%. Staff who identified themselves as LGB raised more grievances, at a rate of **2.8** per 100 staff, compared to heterosexual staff, as at a rate of **1.7** per 100 staff. However, the percentage of cases upheld or partially upheld was higher for heterosexual staff at **36.6**% compared to LGB staff at **35.8**%.

9. Investigations and Conduct & Discipline cases

In 2019/20, the overall rate of investigations was 2.7 per 100 staff. The rate was higher amongst; Male staff (at 3.7 per 100 males) compared to female staff (at 1.7 per 100 females), BAME staff (at 3.5 per 100 staff) compared to White staff (at 2.5 per 100 staff), and those under 30 (at 3.8 per 100 staff) compared to staff in other age bands.

In 2019/20, the overall rate of conduct & discipline cases was 1.1 per 100 staff. The rate was higher for; Male staff (at 1.5 per 100 male staff) compared to female staff (at 0.7 per 100 female staff) and BAME staff (at 1.4 per 100 staff) compared to White staff (at 1.0 per 100 staff).

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 2019/20, **1,428** staff faced at least one investigation, representing a rate of **2.7** per 100 staff and a slight decrease from the **2.8** for 2018/19. Of the **1,490** cases, **948** (**63.6**%) had further action recommended. In 2019/20, band 3-5 officers had a higher rate of investigations than staff in other grades (**4.4** per 100 staff, with all other grades with a rate of **2.6** or below).

Overall, male staff were investigated at more than double the rate of female staff in 2019/20, at **3.7** per 100 males compared to **1.7** per 100 females. The rate of investigations for male staff was higher across all grades. The percentage of cases with further action recommended, however, was slightly higher for females at **63.8%** compared to **63.5%** for males. This represents a decrease from 2018/19 for females of **4.7** percentage points (from 68.5%) and a decrease of **0.3** percentage points (from 63.8%) for males.

Figures 11 and 12 show the rates per 100 staff who were investigated in 2019/20 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 2019 to 31 March 2020

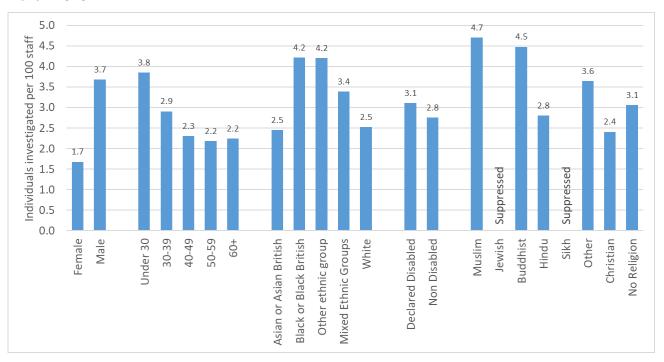
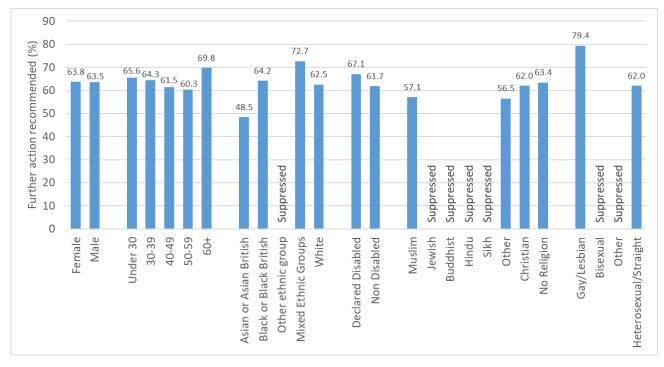


Figure 12: Proportion of Investigations where further action was recommended, 1 April 2019 to 31 March 2020



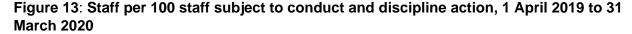
In 2019/20, there was a tendency for the rate of investigations to decrease with age from **3.8** per 100 staff for those aged under 30, to **2.2** per 100 staff aged 60 and over. The percentage of cases with further action recommended decreased with age up until the 50-59 age group (from **65.6**% in those aged under 30 to **60.3**% in staff aged 50-59). However, this was higher among those aged 60 and over with **69.8**% of cases being recommended for further action.

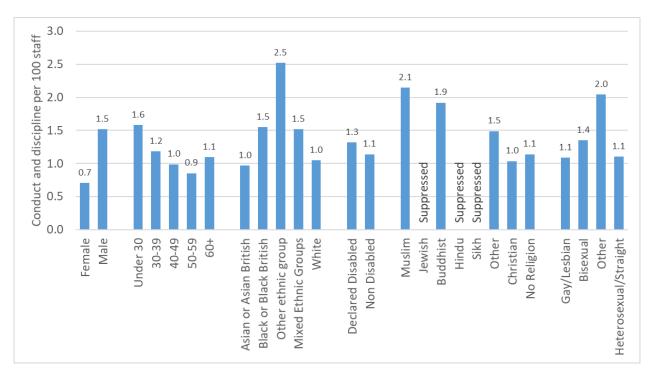
The proportion of BAME staff investigated in 2019/20 was higher than the proportion of White staff investigated, **3.5** per 100 staff compared to **2.5**. The percentage of cases with further action recommended was also higher for BAME staff (**64.6**%, an increase from 63.4% in 2018/19) than for White staff (**62.5**%, a decrease from 64.3% in 2018/19).

In 2019/20, staff with non-Christian religious beliefs, **3.7** per 100 staff, were investigated at a higher rate than Christian staff, **2.4** per 100 staff, or those with no religion, **3.1** per 100 staff. Although, non-Christian staff had fewer cases with further action recommended (**60.8**%) compared to Christian staff or those with no religion (**62.0**% and **63.4**% respectively).

There were **592** staff subject to conduct and discipline action who were given a disciplinary penalty in 2019/20, a rate of **1.1** per 100 staff. There was a total of **606** conduct cases and of these **17.2**% resulted in the penalty of dismissal². The rate of conduct cases was highest amongst band 3-5 prison officers at **1.7** 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 2019/20, split by protected characteristics. The patterns mirror those found for investigations due to the close connections of the two processes.





23

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

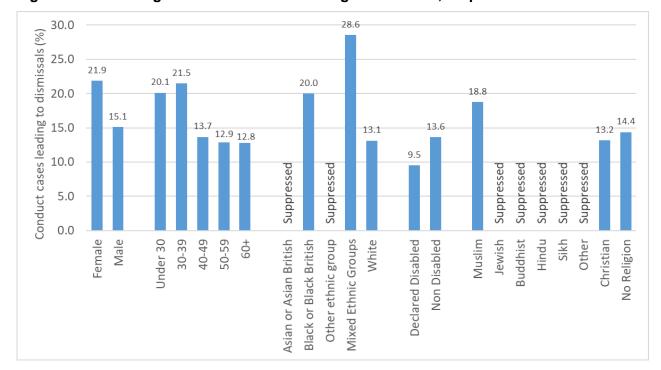


Figure 14: Percentage of conduct cases leading to dismissal, 1 April 2019 to 31 March 2020

Note: Sexual Orientation groups are not shown here due to all figures being suppressed.

The rate of conduct cases involving male staff was more than double the rate for female staff, **1.5** per 100 male staff compared to **0.7** per 100 female staff. However, the proportions of cases resulting in dismissal were higher for female staff compared to male staff (**21.9**% and **15.1**% respectively).

In 2019/20, the rate of conduct and discipline cases was highest among staff aged under 30 at **1.6** per 100 staff and had very little variance among the other age groups, ranging from **0.9** per 100 staff aged 50-59 to **1.2** per 100 staff aged 30-39. The percentage of conduct cases leading to dismissal was higher for younger staff (**20.1**% for those aged under 30 and **21.5**% for those aged 30-39) compared to older staff where only **12.8**% of cases resulted in dismissals in staff aged 60 and over.

In 2019/20, a larger proportion of BAME staff, **1.4** per 100 staff, were subject to conduct and discipline action than White staff, **1.0** per 100 staff. The percentage of dismissals resulting from conduct cases was also higher for BAME staff at **22.2**% compared to White staff at **13.1**%. There was a slightly higher proportion of staff subject to conduct and discipline among those who declared themselves as disabled, **1.3** per 100 staff, compared to non-disabled staff, **1.1** per 100 staff. However, the percentage of cases resulting in dismissals was higher for non-disabled staff compared to disabled staff (**13.6**% and **9.5**% respectively).

In 2019/20, staff with non-Christian religious beliefs, **1.5** per 100 staff, were subject to conduct and discipline action at a higher rate than Christian staff, **1.0** per 100 staff, or those with no religion, **1.1** per 100 staff. Although, non-Christian staff had fewer cases result in dismissals (**9.8**%) compared to Christian staff or those with no religion (**13.2**% and **14.4**% respectively). The rate of conduct and discipline cases was similar for staff who identified as LGB compared to Heterosexual staff (**1.2** per 100 staff and **1.1** per 100 staff respectively).

10. Sickness absence

In 2019/20, HMPPS staff lost an average of 10.0 working days due to sickness, a 0.6 percentage point increase compared to 2018/19.

The average working days lost due to sickness increased with age and was higher for females, BAME staff, and those that declared themselves as disabled, non-Christian, or LGBT.

Sickness absence is represented in this section by the average working days lost (AWDL) due to sickness per employee per year. In 2019/20, the AWDL due to sickness absence was **10.0**, a **0.6** percentage point increase from 9.3 in 2018/19. 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. **To note, 2019/20 sickness absence data does not include any specific figures relating to the effect of the coronavirus (COVID-19) on HMPPS staff.**

In 2019/20, the average working days lost to sickness absence was higher for female staff at **10.3** days, than for male staff at **9.7** days. This was seen across all operational grades and NPS below management grades but not in non-operational grades and NPS management grades.

Figure 15 illustrates the AWDL in 2019/20 across all protected characteristics. Further details on sickness absence can be found in tables 10a and 10b.

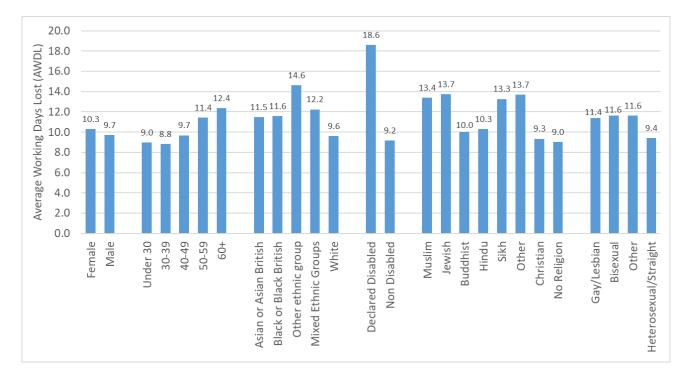


Figure 15: Average working days lost due to sickness absence, 1 April 2019 to 31 March 2020

In 2019/20, the average working days lost to sickness absence increased with age, though there was a dip for those aged 30-39, before rising again for those 40-49 onwards. Those aged 30-39 had the lowest AWDL at **8.8** days, increasing through each age group to the over 60s who had the highest AWDL at **12.4** days. This pattern was seen across many of the grades, except for

operational managers and band 3-5 officers (where those aged 50-59 had the highest AWDL at **6.7** and **12.2**, respectively).

In 2019/20, 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; 11.5 days for NPS staff below management grade, 11.1 days for officers and 10.4 days for OSGs.

In 2019/20, the AWDL was **11.8** days for BAME staff and **9.6** 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 **14.6**, followed by Mixed ethnic staff at **12.2**, Black staff at **11.6** and Asian staff at **11.5**. Compared to 2018/19, there was a decrease in the AWDL among White staff at **0.2** percentage points and an increase for BAME staff of **1.2** percentage points. By grade, in the 12 months ending 31 March 2020, the AWDL rate was higher for BAME staff in all staff positions, apart from OSGs (**10.3** AWDL for White staff compared to **9.9** for BAME staff).

For 2019/20, those who declared themselves as being disabled had more than twice as many working days lost, on average, than that of non-disabled staff, at **18.6** days compared to **9.2** days respectively. Disabled staff had a higher AWDL compared to non-disabled staff across all grade groups where the declaration rates were above the 60% threshold.

Declaration rates for religion and sexual orientation are above the level at which meaningful consideration can be made for the first time in the time series shown. In 2019/20, staff who declared as being a non-Christian had a higher rate of AWDL of 13.1 compared to Christian staff (9.3 days) and staff with no religion (9.0 days). Of the non-Christian religions, Jewish staff and those from 'other' religions had the highest AWDL of 13.7. Staff who declared themselves as LGB had the highest rate of AWDL of 11.5 days compared to an AWDL of 9.4 days in heterosexual/straight staff.

11. Leavers

In 2019/20, the leaving rate of HMPPS staff was 10.5%, an increase of 0.5 percentage point since 2018/19.

Leaving rates were higher amongst male staff (11.3%) compared female staff (9.7%). By age, the highest leaving rate was for those aged 60 and over (18.0%), followed by those aged under 30 (16.9%).

In the 12 months ending 31 March 2020, **5,506** permanent staff (headcount) left HMPPS. The leaving rate stood at **10.5**%, representing an increase of **0.5** percentage point from the previous year's rate of 10.0%. 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.

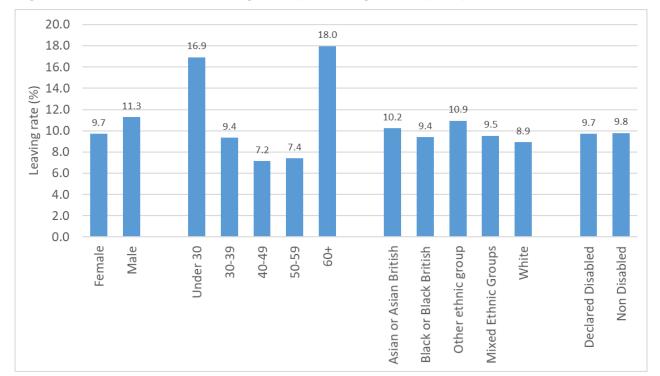


Figure 16: Permanent staff leaving rates (excluding VEDSR), 1 April 2019 to 31 March 2020

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The leaving rate for female staff was lower in the 12 months ending 31 March 2020 at **9.7**% than the rate for male staff at **11.3**%, an increase of **0.9** and **0.1** percentage points respectively.

Considering gender splits of leaving rates by grade group, in 2019/20, operational below management grades had the largest leaving rates; OSGs had a leaving rate of **12.5%**, an increase from 11.8% in 2018/19, and band 3-5 officers had a leaving rate of **12.2%**, an increase from 11.5% in 2018/19. These grades were the only grades where females had a higher leaving rate than males; a rate of **13.0%** compared to **11.9%**, respectively, for band 3-5 officers, and a rate of **12.7%** compared to **12.4%**, respectively, for OSGs. NPS management grades had the largest gender difference with the rate for male leavers at **8.3%** compared to **4.0%** for females.

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 the highest at **18.0**% in the 12 months to 31 March 2020, consistent with previous years and an increase of 0.3 percentage points compared to the previous 12 months. Those aged under 30 had leaving rates of **16.9**%, which was an increase of 2.1 percentage points compared to the 12 months to 31 March 2019.

In 2019/20, the leaving rate was higher for BAME staff, at **9.8**%, compared to White staff, at **8.9**%. Within the BAME subgroups, those who declared themselves as Asian or 'other ethnic group' had the highest leaving rates at **10.2**% and **10.9**%, respectively. Staff who had declared themselves as disabled had a leaving rate of **9.7**% which was only slightly lower than the leaving rate of non-disabled staff at **9.8**%. Considering grades, disabled staff tended to have higher leaving rates except for NPS management grades and NPS below management grades where non-disabled staff left at a higher rate than disabled staff.

Declaration rates for religion and sexual orientation are 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: 25 November 2021

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