



Ministry
of Justice

Guide to Her Majesty's Prison and Probation Service (HMPPS) Workforce Statistics

Ministry of Justice
Official Statistics Bulletin

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Introduction

On 1 April 2017, Her Majesty's Prison and Probation Service (HMPPS) replaced the National Offender Management Service (NOMS), an agency of the Ministry of Justice. This publication covers the reporting period up to 30 June 2017, i.e. following the introduction of HMPPS, and therefore considers in detail, quarterly staffing levels and staff inflows and outflows for both NOMS and HMPPS since April 2010. For ease, the statistics in this publication will be referred to as those of the HMPPS workforce. The main areas covered in this publication are:

- Staff in post FTE by public sector Prison Service Region and National Probation Service (NPS) Division of England and Wales; by function (category of prison for the Prison Service or work area for NPS staff); by grade; by length of service; and by establishment or LDU cluster.
- Staff in post headcount by protected characteristic as specified under the Equality Act 2010.
- Joiners and leavers headcount by public sector Prison Service Region and NPS Division of England, and Wales; by function (category of prison); by grade; by protected characteristic; and by length of service for leavers.
- Underlying leaving rates of staff on permanent contracts, by grade and region.
- Headcount of existing HMPPS staff who have been re-graded to prison officer.
- Headcount of leavers by reason for leaving.

Related publications

The Workforce Statistics bulletin is published alongside two inter-related annual reports:

NOMS Annual Staff Equalities report: 2015 to 2016: This provides key statistics on NOMS staffing numbers and processes, with reference to protected characteristics.

Annual NOMS Digest 2016 to 2017: This report looks at the average working days lost (AWDL) through sickness absence in NOMS HQ and Area Services, public sector prisons and National Probation Service. Information is presented by establishment and region.

Overview of HMPPS Workforce Statistics

This section describes the timing and frequency of the publication and the revisions policy relating to the statistics published.

Timeframe and publishing frequency of data

This publication is produced on a quarterly basis so as to reflect the dynamic nature of the data included within many of the tables. The next edition of this quarterly bulletin, scheduled for release on 16 November 2017, will provide statistics on the HMPPS workforce as at 30 September 2017.

Revisions

In accordance with Principle 2 of the Code of Practice for Official Statistics, the Ministry of Justice is required to publish transparent guidance on its policy for revisions. A copy of this statement can be found at:

www.justice.gov.uk/downloads/statistics/mojstats/statistics-revisions-policy.pdf

The reasons for statistics needing to be revised fall into three main categories. Each of these and their specific relevance to the HMPPS Workforce Statistics Bulletin are addressed below:

1. Changes in source of administrative systems or methodology

The data within this publication relating to the reporting period up to 31 December 2016 are derived from Oracle HRMS. However data covering the period from 1 January 2017 onwards have been extracted from the newly introduced Single Operating Platform (SOP). SOP is an administrative IT system which holds HR information. This document will set out any caveats to consider when interpreting the statistics as a result of the transition to SOP as well as details of where there have been revisions to data as a result of any changes in methodology. Statistics affected within the main bulletin and accompanying tables will also be appropriately marked.

2. Receipt of subsequent information:

The nature of any administrative system is that there may be time lags with regards to when data are recorded. This means that any revisions or additions may not be captured in time to be included in the subsequent publication. For the workforce statistics bulletin, this predominantly relates to the data on joiners, leavers and sickness at the end of each quarter within the financial year. Unless it is deemed that these processes make significant changes to the statistics released, revisions will only be made as part of the subsequent publication within the time series. Data are fixed at the end of each financial year.

3. Errors in statistical systems and processes:

Occasionally errors can occur in statistical processes; procedures are constantly reviewed to minimise this risk. Should a significant error be found, the publication on the website will be updated and an errata slip published documenting the revision.

Revised figures are indicated with an '(r)' superscript beside each figure affected.

Explanatory notes - symbols and conventions

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

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

Explanatory notes

On 1 April 2017, Her Majesty's Prison and Probation Service (HMPPS) replaced the National Offender Management Service (NOMS). HMPPS is focussed on supporting operational delivery and the effective running of prison and probation services across the public and private sectors. HMPPS works with a number of partners to carry out the sentences given by the courts, either in custody or the community.

The agency is made up of Her Majesty's Prison Service (HMPS), the National Probation Service (NPS) and a headquarters.

Users and uses of these statistics

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

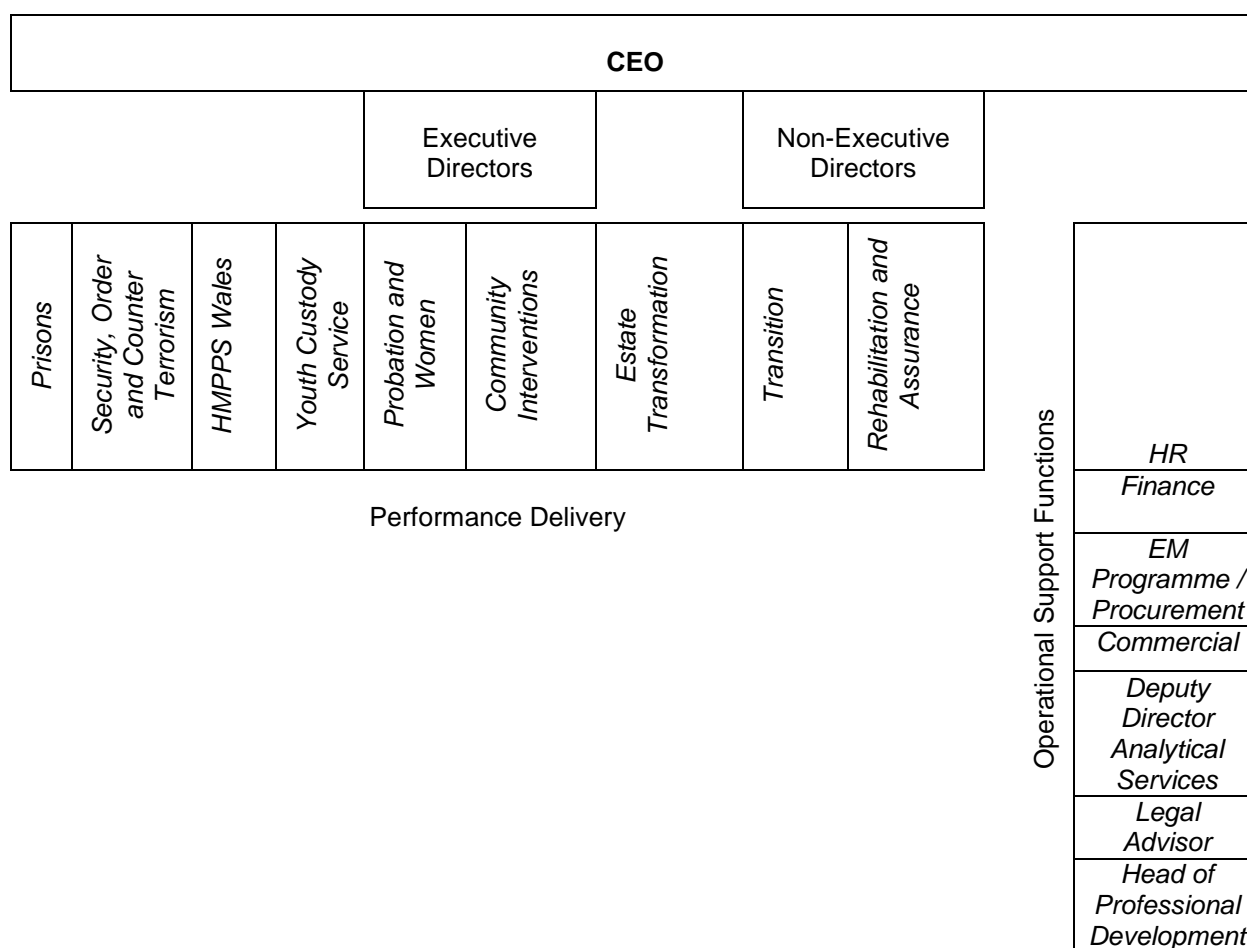
Intended use of statistics:	Summary of main statistical needs:
Ministry of Justice ministers	Use the statistics to monitor changes to HMPPS staff numbers, and to the structure of the organisation over time.
MPs, House of Lords and Justice Select Committee	These statistics are used to answer parliamentary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

Background to HMPPS

HMPPS delivers services directly through public sector prisons and the National Probation Service across England and Wales and commissions services through private sector prisons and, for probation, from Community Rehabilitation Companies (CRCs). HMPPS also work with a number of partners (including charities, local councils, youth offending teams and the police) in order to provide services and to support the justice system.

The information presented in this bulletin relates to staff who are employed by HMPPS, who are all civil servants. Other workers within HMPPS who are employed by third parties, either within contracted areas of delivery such as private sector prisons or CRCs or as contractors and other contingent workers, including other non-civil service public sector employees, within HMPPS are not included. Also excluded are voluntary workers, HMPPS staff on loan, on secondment out, and those on a career break. Figure 1 outlines the general structure of HMPPS.

Figure 1: HMPPS general structure



Both the public sector Prison Service and National Probation Service have been principally managed on a geographical basis. The regional structure of public sector prisons do alter and the latest changes were made in April 2017. The young people's estate, immigration removal centres and foreign national prisons, women's, long term and high security prisons are managed outside of the geographic structure and are managed as virtual regions.

However, given that a significant amount of time has been required to address ongoing issues due to the transition to SOP, changes to reflect the latest regional structure differences are intended to be implemented in the next workforce statistics publication covering the reporting period to 30 September 2017. Statistics presented in this publication therefore reflect the regional structure as of April 2016.

HMPPS HQ Directorates and Area Services

HMPPS operates from a number of offices across the country, with its principal office in Westminster. There are staff, organised regionally or nationally providing services directly to establishments and Local Delivery Units (eg. HR business partners).

Prisons and NPS Divisions

Adult prisons in England are managed on the basis of a combination of geographical and functional groupings. Long term and high security prisons, prisons for women and immigration removal centres and prisons for foreign nationals are managed functionally.

The NPS is divided into six divisions in England, which are then sub-divided into Local Delivery Units (LDUs). For the purposes of reporting, LDUs are grouped into clusters, but these are not coterminous with prison geographical groupings.

In Wales, prison and probation services are delivered together under a single directorate called HMPPS in Wales. There is a public sector youth custody estate providing custodial services for under 18 year olds.

Details of staffing within each prison group and NPS division since March 2010 is contained in Table 1 of the accompanying tables.

Change in the provision of probation

On 1 June 2014, the way that probation services were delivered changed. Prior to that date probation services were delivered by 35 Probation Trusts across England and Wales, which were responsible for their own staffing. On 1 June 2014, the National Probation Service, which is responsible for high-risk offenders in the community, was created and staff in the NPS joined HMPPS as Civil Servants. The remainder of offenders are managed by Community Rehabilitation Companies (CRCs), which are now contracted out to the private and voluntary sectors and fall outside of the scope of this bulletin.

Staff grades

Separate grading systems exist for staff in the NPS and the other parts of HMPPS. NPS staff transferred into HMPPS on the terms and conditions they had within Probation Trusts and those structures are still used. NPS staff work in band 1 for the most junior to band 6 then further bands from A to D for the most senior staff. Qualified Probation Officers typically work at band 4.

In Public Sector Prisons and HMPPS HQ, staff work in bands ranging from band 1 for the most junior staff to band 11 for the most senior prison Governors and managers. Both operational and non-operational staff work within these banding structures.

Operational Staff within Public Sector Prisons

Operational staff within Public Sector Prisons specifically work in bands 2 to 11. The majority of these individuals are in the following grades:

- Band 2/ Operational Support: Staff in this grade perform a wide variety of duties, including checking in and supervising visitors, patrolling perimeter and grounds, escorting contractors and vehicles, searching buildings and searching prisoners' property. A two week Operations Assistant entry level training course is undertaken prior to commencement of duties.

Band 3-4 (including specialists): this grade captures staff for whom this is their first prison officer level role in a Public Sector Prison. Once an individual has been offered a post as a prison officer, they will spend one week located in an establishment, undergo a 10-week Prison Officer Entry Level Training (POELT) course and then spend a further week in the establishment. Once this is completed, they are considered fully trained; upon successful completion of prison officer training, a level 3 diploma in the management and care of individuals in the custodial environment will be awarded and the individual will then begin their career as a prison officer.

- Band 4 / supervising officer: staff in this grade will usually lead a team of prison officers.
- Band 5 / custodial manager: staff in this grade are responsible for the overall management of a prison wing.

Band 3 to 5 operational staff are collectively known as prison officers and are often grouped together.

Operational Staff within the NPS

NPS staff work in band 1 for the most junior to band 6 then further bands from A to D for the most senior staff. Probation officer level roles can be distinguished as follows:

- Band 3 / probation services officer: manages caseloads of medium and lower risk offenders during and after they are sentenced. Once a probation services officer undertakes and obtains the Professional Qualification in Probation (PQiP), they are eligible to apply for a probation officer role.
- Band 4 / probation officer: an individual working in this band represents a qualified probation officer and will manage caseloads of offenders during and after they are sentenced.
- Band 5 / senior probation officer: manages teams of probation officers.

In order to provide further clarity on figures related to probation officer roles, the grades outlined above have been separated out within the relevant publication tables.

Offender Management (OM) in custody

Implementation of the first phase of the Offender Management (OM) in custody model commenced in summer 2017 with the aim of making prisons safer by developing more

rehabilitative establishments to deliver a supportive environment for both prisoners and staff. The new model transfers OM responsibility for some prisoners in custody (in terms of risk assessment, risk management plan and service and intervention coordination) from the community and into prisons making Governors accountable for the quality and delivery of prison OM.

In future, probation staff will work in the prison as part of the OM team and a senior probation officer will be head of offender management delivery, and will line manage the prison offender managers. They will report to the governor's line, to ensure quality and professional practice. They will work alongside the head of OM services who will manage the OM unit.

As a result of these changes, staff benchmarks previously in place (i.e. staffing levels agreed with the Governor and Deputy Director of Custody and carefully designed to provide a staffing level sufficient to deliver safety, decency and security) are no longer in use and are being replaced by target staffing levels under the new OM in custody model. Work is ongoing in order to further develop these target staffing levels. Figures on target staffing levels and subsequent shortfall numbers across prison establishments have therefore not been presented in this publication. This information will be included in future workforce statistics publications once the target staffing levels have been sufficiently developed.

Full time / part time

Data are not routinely available on working patterns other than full time/part time status since decisions on flexible working, working from home, and other aspects of working patterns are often handled at a local level. Full time/part time is also a status which may fluctuate across an individual's career. Part time as a grouping covers a wide range of working patterns and working hours.

Equality and diversity

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

Data on the protected characteristics of race, disability, sexual orientation and religion / belief are collected from self-declared, non-compulsory fields on the Oracle HRMS and SOP databases (up to 31 December 2016 and after 1 January 2017 respectively). 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.

The different parts of HMPPS have varied in terms of both data coverage and demographic composition and therefore are presented separately.

Categorisation of prisoners

Prisons are categorised relating to the function of the establishment, dependent on the type or types of prisoner held. Prisoner security categories in the United Kingdom are assigned to every adult prisoner for the purposes of assigning them to a prison. The categories are based upon the severity of the crime and the risk posed should the person escape. Further details of the categories can be found in the Glossary of Terms.

Calculation of leaving rates

To allow for easier comparison of the retention of staff across grades and over time, leavers are presented as a rate of staff in post. The rates measure the percentage of staff with a permanent contract of employment who left HMPPS for reasons other than voluntary early departure and redundancy. These reasons are excluded so that the rates are not distorted by departure schemes instigated by the Department.

Furthermore, given early retirements are indeed based on those that retire early, individuals who have left for this reason are now excluded as a subset of those who left as a result of voluntary early departure (these had previously been included in this category due to the coding of data being unable to distinguish between early retirements and voluntary early departure). This means early retirements are now included in the calculation of leaving rates and this approach has also been applied to historical data presented in this publication.

Data sources and data quality

The statistics in this bulletin relate to civil servants employed by HMPPS. The data presented in this publication referring to the reporting period to 31 December 2016 are drawn from the Oracle Human Resources Management System (HRMS) used previously by NOMS. However, data covering the period from 1 January 2017 onwards have been extracted from the newly introduced Single Operating Platform (SOP), an administrative IT system which holds HR information. Both SOP and the previous Oracle HRMS are live dynamic systems, not designed for use in presenting consistent statistical figures. Although both can generate what appear to be historical figures, subsequent updates to details of records on the system will only show the latest position, and not the position as it stood at the time in question.

Information relating to staff in post, joiners and leavers is closely scrutinised, and the data presented in this bulletin are considered to be of high quality. Extensive quality assurance of the data is undertaken, and care is taken when processing and analysing the data. While the figures shown have been validated and independently checked, the information collected is subject to the inaccuracies inherent in any large scale recording system. More specifically though, this publication includes statistics produced using initial cuts of data taken from the newly introduced SOP. As a result, additional validation of this data has been necessary, including the use of alternative approaches to support production of the statistics. Whilst we are confident that the statistics compiled for this particular period remain of high quality, it must be noted that SOP has only recently come into effect and further investigations continue so as to fully understand the impact of this change. Caution should therefore be taken when interpreting the findings.

For statistical and archive purposes, monthly extracts have been taken from the data systems, which allow consistent figures to be obtained for historical time points. It is not uncommon for a small number of updates to have been implemented slightly in arrears. To account for this, the data extracts used for statistical purposes have been taken at a pre-determined point in time shortly after the situation date. This process accommodates the majority of such late updates whilst maintaining the timeliness of the data. While this has been a standard, and indeed a suitable approach to obtain accurate and timely data from HR systems, there is the inevitable potential for a small number of late updates to be missed, occurring after the monthly extracts are captured. As the time series expands, future workforce statistics publications will rely more on SOP for figures on historical points in time. However the possibility of data updates being missed will still remain as monthly extracts will continue to be generated through SOP in such a way that there is balance between capturing the bulk of late updates and ensuring the timeliness of the data.

Certain aspects of the data held on both Oracle HRMS and SOP relating to the National Probation Service (NPS) are not currently of the quality necessary to be included in a publication of official statistics. In addition, the breakdown of NPS data into figures for separate work areas has not yet been possible using SOP.

Disclosure policy

It is MoJ disclosure policy to assess the risk of disclosure of sensitive information about identifiable individuals and the consequent harm that disclosure could cause. This risk is then balanced against the loss of utility of statistics that have been suppressed.

Sensitive information includes protected characteristics such as race, disability, sexuality or religion of the individuals, or incidents that happen to staff that could cause distress to the individual or their family if they were disclosed. Examples would be conduct and discipline cases, grievances, sickness absence, dismissals.

In this bulletin it has been assessed that the risk of identification of individuals is minimal and that the majority of the information presented is not sensitive in that it relates to attributes of grade and location. In most cases it has been concluded that the utility to users of unsuppressed statistics outweighs the small risk to individuals involved. Where suppression has been used, this generally applies to:

- small populations of staff with particular protected characteristics;
- the reasons for leaving where numbers by category may be/are low; or
- cells containing two or fewer cases together with secondary suppression of cells that could be used in combination with totals to deduce the original figures.

Methodology

Statistics presenting the changes to numbers of staff in post over time are of key importance to monitoring the effects of policy changes, financial accounting and transparency.

The financial year 2010/11 saw the introduction of recruitment controls and departures under Voluntary Early Departure Schemes (VEDS), with the intention of reducing staff numbers within NOMS. To allow the monitoring of changes to staff numbers as a result of VEDS, the time series within this publication begins at 31 March 2010. The time series shows quarterly data, with annual figures taken at the end of each financial year back to 2010/11. This presents both the long-term and more recent trends.

However, when interpreting trends in the data, caution must be taken due to organisational changes which have occurred at various points during the time series presented in the workforce statistics bulletins and tables. More recently, as of 1 April 2017, when HMPPS was created, some teams and functions previously part of NOMS moved into the Ministry of Justice (MoJ) as implementation of a functional leadership model. The model was introduced with the aim of joining up corporate and professional services across MoJ and its agencies so as to improve outcomes, frontline delivery, organisational resilience and personal career paths. Staff in these roles transferred on the HR system between 1 April and 30 June 2017 and statistics presenting staff in post, as well as joiners and leavers, in this publication reflect these changes. Changes predominantly apply to those individuals working in corporate roles within HMPPS HQ and area services. Like-for-like comparisons cannot be consistently made from the data presented in the tables.

Staff in post figures have been derived from snapshots taken on a monthly basis, previously, from the Oracle HMRS and, more recently, from the SOP databases. These have both captured all civil servants employed by HMPPS on the final working day of each month. The snapshots are usually taken two working days into the following month, allowing for some late updating to occur and thus improving the quality of the data, while remaining as timely as possible.

Statistics reported for the workforce bulletin relate to all staff who have a contract of employment with HMPPS. Staff are included irrespective of whether they are absent from work (paid or unpaid) on the day of the snapshot. The only staff excluded are those on career breaks and those on secondment or loan outside of HMPPS.

The constituent parts of HMPPS; HM Prison Service, HMPPS HQ and National Probation Service (NPS) are defined in terms of organisational hierarchies and not grading structures. While staff in NPS grades make up the great majority of the NPS, there are a few staff working elsewhere in HMPPS who have NPS grades. Where staff are presented by grade in the bulletin, this information should not be used to identify the number of staff in that particular part of HMPPS.

Where definitions have changed over the time series (for example changes to grade names), it is possible to retain comparability across the time series through presenting both the old and new names. In other cases, such as the change to the definition of HQ, current definitions are used and carried back, as consistency across the period is enabled through the HQ and Area Services total, which aligns to the former HQ definition. Should definitions not be appropriate to be carried back due to non-alignment with previous definitions, a break in the time series would be presented with explanatory footnotes in the relevant sections of

the bulletin/accompanying tables. In the relevant tables, establishments have been presented in the region or category they were classified in as of April 2016. This may result in revisions to information presented in previously published time periods. Any reclassification of establishments into different regions or categories which may have occurred after April 2016 are intended to be reflected in the next quarterly workforce publication covering the reporting period to 30 September 2017.

When the statistics are broken down by region, category of establishment and grade, staff in post figures are presented as full-time equivalent (FTE). FTE figures are used as they take into account the different working patterns amongst staff. Considering variations in the number of hours worked by staff therefore provides a more accurate measure of the *true/actual* available resource compared to staff headcount. Where a member of staff works the standard hours for their grade they are counted as full time (1 FTE). Staff who work less than standard hours are allocated an FTE in proportion to their contracted hours and the standard hours for the grade. Work undertaken in addition to standard hours, such as overtime is not taken into account in calculating FTE.

Where data are readily available, staff in post figures are also presented by protected characteristic under the Equality Act 2010. Currently, there remains certain fields, defined as protective characteristics, which are not sufficiently populated to be able to present as statistics; however it is intended that that coverage will increase over time. When considering the protected characteristics, it is the actual number of individuals which is important, and not the resource those individuals contribute. For this reason the only appropriate measure is the headcount, and not FTE. The Equality Act 2010 was established to protect all individual employees of the organisation as equal, and is in place to ensure fair and equal treatment for all individuals and not as having differential worth dependent on their hours worked.

The publication also presents the number of joiners (newly recruited) who have started work in HMPPS and leavers from HMPPS during the preceding 12 month period for each date point. Figures are taken over a 12 month period for a number of reasons, primarily as the numbers involved would not be sufficient to permit breakdowns over a shorter period of time, and seasonal influences may impair fair comparison of trends over time should less than 12 months be presented.

Joiners and leavers figures record the inflow and outflow staffing transactions taking place between the first and last working day of the month. With the exception of existing HMPPS staff who have re-graded to prison officer, the other staff movements relate to movements into or out of HMPPS rather than internal movements between sites and grades. The information have been taken from the Oracle HRMS and SOP databases. The data taken from Oracle HRMS, and so covering the period up to 31 December 2016, has been extracted seven working days into the next month to accommodate as many late entries as possible while minimising the impact on timeliness. Data covering the period from 1 January to 31 March 2017, and therefore taken from SOP, was extracted approximately 3 weeks following this period to allow for issues arising as a result of the implementation of a new system to be resolved as far as possible.

Staff leaving on the final working day of a given month will appear both in the staff in post record for that month (having been employed by HMPPS on the last day of the month) and in the leavers record for that month (having left employment on the last day of the month). For this reason, staff in post, joiners and leavers figures do not fully reconcile.

Joiners and leavers are presented on a headcount basis for a number of reasons – those joining the department who work part-time often arrange to do so after starting, and not at the moment of joining. Similarly the FTE recorded on leaving is often not representative of working patterns throughout the entire period of employment. For these reasons FTE on joining or leaving is a poor measure of the actual FTE resource the individual will represent or will have represented during their career in HMPPS. FTE figures for joiners and leavers will not reflect the changes to FTE of staff in post as continuing staff may change their FTE at any time. These are not data quality issues, but are inherent in the nature of staff data. Headcount figures are therefore used for all joiners and leavers tables. For joiners and leavers, the same breakdowns of region, function of establishment (category) and grade are provided. Reasons for leaving is also presented for leavers. However, since January 2017, information regarding dismissals has made no distinction between those as a result of medical inefficiencies and those which are due to unsatisfactory attendances. These two categories of dismissals have therefore been combined.

The bulletin also includes information on the leaving rate amongst HMPPS staff. These are presented to enable easier comparisons of staff retention over time. To prevent the rates being distorted by factors such as the number of staff on fixed-term contracts, they relate to staff on permanent contracts only. Furthermore, exit schemes instigated by the Department involving voluntary early departure and redundancies are excluded so that only the behaviour of individuals is measured. For these reasons the number of leavers and staff in post used in the calculations are not the same as those presented in other parts of the bulletin. However, the calculation of leaving rates do now include staff who retire early, whereas this subset of individuals had previously been considered as a voluntary early departure and so had been excluded. This amendment in the calculation of leaving rates to include early retirees have been applied to both historical and current data.

Changes to the available resource is measured by the net change of staff in post full time equivalent (FTE). These are presented in the staff in post FTE tables.

Where tables present information on length of service, this is defined as the number of completed years from the latest date of entry to HMPPS to the reference date of the table, or in the case of leavers, the date the employee left. However, it must be noted that the NPS was created on 1 June 2014 and the service of NPS staff in Probation Trusts prior to the creation of the NPS is not included. Therefore, the figures relating to the length of service of NPS staff, and which are included in the HMPPS overall figures, do not necessarily represent their full experience, but rather the length of service from entry to HMPPS.

Two further tables showing the snapshot of the staff in post FTE by grade and then individual establishment for Public Sector Prisons and by LDU Cluster for NPS are included to give the current structural picture. These tables do not include time series, due in part to the size of the tables, but more importantly as a result of the dynamic nature of establishments and LDU clusters, which change frequently, rendering a time series of less value.

Due to data quality concerns, tables presenting figures on sickness absence have been excluded in this publication whilst the issues are investigated. It is expected that these will be re-instated in the next quarterly workforce publication covering the reporting period to 30 September 2017.

Glossary of terms

Grades:	
Fair and Sustainable	From April 2012 new recruits to HMPPS (previously NOMS), and staff moving into new roles, were employed under a new grading structure known as 'Fair and Sustainable'. The new structures covered all roles except for nurses and other healthcare staff employed on NHS terms and conditions and senior civil servants. The NPS is also not subject to Fair and Sustainable structures. In 2013/14 all existing HMPPS (previously NOMS) staff were given the opportunity to opt in to the new structure, although opting in was not mandatory. There are 11 pay-bands under Fair and Sustainable with band 1 being the least senior and band 11 the most senior. Further detail on the roles being undertaken is given by a job description. Within this report the staff already within the new bands are reported alongside the equivalent in the old grading structure.
Prison Service Operational	Includes prison officers, supervising officers, custodial managers, operational managers and operational support grades. Staff within these grades are included as operational even if they are currently fulfilling a non-operational or headquarters role. Operational roles in the old grading structure also include senior officers and principal officers. In Fair and Sustainable structures operational staff fill roles at band 2 to band 11 and are identified as operational by job description. This group relates to staff outside of the NPS only.
HM Prison Service and NOMS HQ Non Operational	Refers to staff in all grades outside of the NPS and who are not included within the operational group. Non-operational roles within the new Fair and Sustainable structures include roles at band 1 to band 11 and also include staff on NHS terms and conditions and senior civil servants.
National Probation Service Grades	These are grades filled by staff who have transferred into HMPPS (previously NOMS) from former Probation Trusts or who have joined the NPS since June 2014. They cover a range of roles within the NPS. Grades are organised into 10 bands, these are bands 1 to 6 and then bands A to D.
Senior Civil Servant	Members of the Senior Civil Service in HMPPS include the chief executive officer, directors and some leaders reporting directly to directors, at senior civil service pay bands 1, 2 and 3.
Bands 9-11 / Senior Managers	Treasury equivalent grades 6 and 7. Typically unit and team leaders. These staff within the new Fair and Sustainable structures include roles at band 9 to band 11.
Bands 5-8 / Managers	Treasury equivalent grades of higher executive officer (HEO) and senior executive officer (SEO), which in general have line management responsibility. They cover a range of work within HMPPS, including administration, operational management and professional and technical roles. Manager grade psychologists are reported under psychology rather than as managers. Managers within the Fair and Sustainable structures include roles at band 5 to band 8. Amongst operational staff only these roles begin at Fair

	and Sustainable band 6. Operational staff at band 5 are reported separately as band 5 / Custodial Managers.
Band 4 / Executive Officer	Administrative staff based either in establishments or headquarters, sometimes with line-management responsibilities. These staff within the new Fair and Sustainable structures are at band 4.
Band 3 / Administrative Officer	Business administrator roles either in establishments or headquarters. The role has no line management responsibilities. These staff within the new Fair and Sustainable structures are at band 3.
Band 2 / Administrative Assistant	Provide administrative support in both establishments and headquarters. They have no line management responsibility. These staff within the new Fair and Sustainable structures are at band 2.
Other Admin	Administrative staff within other roles not described above such as secretaries and typists. These staff within the new Fair and Sustainable structures can fill roles at band 2 to band 4.
Psychology	Includes psychologists of all grades, trainee psychologists, and psychological assistants (who do not undertake psychological work, but offer administrative support to psychologists). Within the new Fair and Sustainable structures psychology roles include band 4 to band 10.
Chaplaincy	Chaplaincy is committed to serving the needs of prisoners, staff and faith communities. Chaplains from a wide range of faith traditions work within the public sector Prison Service, including Buddhist, Church of England, Free Church, Hindu, Jewish, Muslim, Roman Catholic, and Sikh. A substantial amount of these services are provided by non-employed staff on a sessional basis, which are not included in the figures presented in this report. Chaplains will fill roles in bands 5 and 7 under the new Fair and Sustainable structures.
Healthcare - Nursing Grades	NHS nursing grades working within HMPPS. The majority of the work is primary care but because of the sometimes complex nature of the prisoners' problems work ranges from substance misuse, management of communicable diseases, mental health etc. The majority of nurses working within prisons are employed through Clinical Commissioning Groups and therefore will not appear in the figures contained in this report.
Healthcare - Other healthcare	Other staff working in healthcare within HMPPS such as pharmacists, medical technical offices and medical officers. The majority of these staff working in prisons are employed through Clinical Commissioning Groups and therefore will not appear in the figures contained in this report.
Industrial / Facilities	Employed in areas such as works departments, kitchens, waste management and land-based activities. Industrials fill roles in band 2 to band 4 under the Fair and Sustainable structures.

Instructional Officers	Instructional officers provide prisoners with vocational training, such as in engineering, plastics, printing, tailoring, footwear, woodwork.
Other Grades	These staff cover a range of other roles within HMPPS, including instructional officers, work in stores, land-based activities and catering. The roles are typically below manager level and cover band 1 to band 4 under the new Fair and Sustainable structures.
Band 5 / Custodial Managers	This category represents the continuation of the principal officer grade as custodial managers under the 'Fair and Sustainable' structures. The principal officer grade was closed to new entrants, as of 2010. In 2010, principal officers were offered employment as developing Prison Service managers (non-uniformed). Those that declined this offer remained as principal officers, however recruitment to this rank has closed. Under the 'Fair and Sustainable' structures there is a new role at band 5 of custodial manager, which encompasses much of the work previously carried out by principal officers.
Band 4 / Supervising Officer	This category represents the continuation from the senior officer grade to the new grades under the 'Fair and Sustainable' structures of supervising officer and also prison officer specialist roles. The closed grade of senior officer had line management for prison officers, operational support grades and other staff within their area of responsibility. They manage delivery of the regime, work routines and activities appropriate to their area of responsibility and the wider establishment when acting as the orderly officer. Under Fair and Sustainable there is a new role at band 4 of supervising officer which encompasses some of the work previously carried out by senior officers although they no longer line-manage prison officers directly.
Band 3-4 / Prison Officer (incl. specialists)	Prison officers work directly with prisoners, supervising and managing activities, promoting pro social behaviour, encouraging prisoners to address their offending behaviour and ensure that all Prison Service rules, orders and instructions are followed. Under Fair and Sustainable prison officers fill band 3 operational roles. Some prison officers have a specialism such as physical education, instruction or catering. Prior to 'Fair and Sustainable' specialist officers received an allowance for their specialism while they now receive no allowance but are banded as band 4s.
Band 2 / Operational Support	Operational support grades are employed on a wide variety of duties. These include: checking in visitors , supervision of visitors, patrolling perimeter and grounds, supervising small selected prisoner work parties, escorting contractors & vehicles, searching buildings, searching prisoners property, stores duties, routine administrative work, night patrol duties, drivers and navigators, switchboard duties, canteen and kit exchange duties, Emergency Control Room (ECR) and Communications Room, personal safety, rub down searching of prisoners. Under Fair and Sustainable operational support roles are at band 2.
Bands A to D	These are assistant chief officers, the most senior staff within the NPS, who cover a range of managerial functions such as high level ICT roles and heads of Local Delivery Units (NPS and CRCs).

	Specific roles within the NPS include heads of public protection, divisional training managers and heads of ICT support.
Probation Officer	Professionally qualified staff. They carry out the following tasks; assessment of offenders of any category (including high risk), preparation of court reports and sentence plans, implementation of interventions, supervision of offenders and enforcement action as necessary. They also have a stakeholder liaison role.
Probation Services Officer	Probation services officers (PSOs) who are offender managers for medium and low risk offenders. Staff studying under the probation qualifications framework (PQF) towards becoming fully qualified probation officers are also categorised as PSOs.
Other Band 4-6	Probation band 6 roles include Local Delivery Unit managers, Approved Premises managers and area managers. Probation band 5 roles include managers in HR, IT and Finance. Probation band 4 roles outside of probation officers themselves can be in HR, IT, finance and assistant managers in the Approved Premises.
Bands 1 to 3	Probation band 3 staff work in roles including administration, HR, finance, Approved Premises, IT and unpaid Work. There are also administration and secretarial staff, court staff, trainers and those who deal with case administration, ViSOR (sex offender's register) and victims. Probation band 2 roles are mostly case administrators, drivers, approved premises night staff, receptionists and clerical staff. Probation band 1 roles include administration, catering, telephonists and IT positions.
Senior Probation Officer	Senior probation officers (SPOs) manage teams of probation officers.
Category:	
HQ (Headquarters)	The headquarters function of HMPPS. Staff are based in London and at various offices across England and Wales but work on the central administration of HMPPS. Central administration includes management of establishments through Deputy Directors of Custody offices.
Area Services	These are units that operate on a regional or sometimes national basis but provide services directly to establishments and where staff are often based within establishments.
HQ and Area Services	The combination of current definitions of HQ and Area Services, as it corresponds with definition of HQ prior to March 2013 within statistical reporting, thus enabling continuity of figures.
Establishments	Public Sector Prison Service establishments. These include prisons, young offender institutions, remand centres and immigration removal centres operated on behalf on the UK Borders Agency.

Male category B Male category C Female closed	Closed training prisons provide a range of facilities for category B and category C adult male prisoners and closed condition adult females who are serving medium to long-term sentences. Prisoners tend to be employed in a variety of activities such as prison workshops, gardens and education and in offending behaviour programmes.
Male dispersal	These prisons hold the most difficult and dangerous prisoners in England and Wales including those assessed as category A. They serve to spread the category A population, ensuring that the most dangerous prisoners are not concentrated in a single establishment, thereby reducing the risks involved in holding them.
Female local Male local	Local prisons serve the courts and receive remand and post-conviction prisoners, prior to their allocation to other establishments.
Female open Male open	Open prisons house category D adult male prisoners and open condition adult females whose risk of absconding is considered to be low, or who are of little risk to the public because of the nature of their offence. Open prisons also house long-term prisoners who are coming towards the end of their sentence and who have gradually worked their way down the categories. Open prisons are part of the resettlement programme to reintegrate prisoners back into society. Whilst open prisons may have some workshop facilities, some of the prisoners will work in the community, returning to the prison in the evening.
Male closed YOI (ages 15-21)	Young offender institutions (YOIs) holding young adults (18 to 21 years old). May also include young people (aged 15 to 17) who are held separately from adults within the establishment.
Male YOI young people (ages 15- 17)	Young offender institutions (YOIs) holding young people (15 to 17 years old).
Male open YOI	Open YOI prisons house young adult prisoners whose risk of absconding is considered to be low, or who are of little risk to the public because of the nature of their offence.
Semi open	Semi open prisons (also known as resettlement prisons) serve a similar function to open prisons, though they are aimed at resettling long-term prisoners rather than those who may have been classified as category D from the outset. Prisoners may, subject to an assessment of risk, undertake community or paid work.
Cluster	Cluster prisons may contain a number of prisons with different functions.
Secure Training Centres	HMPPS took over the management of Medway Secure Training Centre (STC) from June 2016. STCs look after a mixed sex cohort which includes children as young as 12 up until the age of 17.
NPS Work Area:	Work area describes, broadly, the work that the target role encompasses and then the fact the staff member is, broadly, doing that type of role. For workforce planning purposes it represents the amount of work that is required and what work staff are doing in

	any reference period. If a staff member was to move roles then their 'work area' would change also.
Offender Management	NPS staff primarily delivering probation activities to manage and supervise high risk offenders in the community and in preparation for release into the community.
Courts	NPS staff primarily delivering probation activities to Courts, including pre-sentence reports, initial offender assessment, breach reports, and case allocation.
Approved Premises	NPS staff delivering services to offenders housed in the community, as a transition environment from custody to the community.
Victims	NPS staff primarily delivering post sentence liaison services to victims of violent and sexual offences.
Programmes	NPS staff primarily delivering sex offender accredited programmes.
Other Interventions	NPS staff primarily delivering probation interventions to change and control offenders.
Administrative Functions	NPS staff supporting the delivery of NPS probation services but not part of HMPPS HQ.
Public / Private Prisons	NPS staff delivering services in prisons.
Loan / Secondment Requirement	NPS staff that have been loaned or seconded out of their NPS unit, including to other parts of HMPPS.
Youth Offending Services	NPS staff delivering services to Local Authority Youth Offender Services.
Other or Blank	There are a range of other work areas NPS staff can be allocated to relating to staff working in Prison Service establishments, HMPPS HQ or local authority Youth Offending Teams.
DDC – Deputy Director of Custody	Senior managers responsible for the line-management of establishments organised either regionally or for Wales or for all High Security Prisons or for the Young People's Estate.
Prison Service Region	The regional management structure used within HMPPS. Wales is managed as a region as are the High Security prisons and the Young People's Estate.
NPS Division	The regional management structure used within the NPS and which consists of a number of local delivery units. Wales appears alongside the divisions of England although it is managed through the HMPPS in Wales directorate.
LDU Cluster	A grouping of NPS local delivery units organised together for management purposes.
High Security Prisons	Prisons holding Category A prisoners, managed as a separate region although geographically spread across England and Wales.

Young People's Estate	Establishments holding young people, managed as a separate region although geographically spread across England and Wales.
Staff Movements	
Staff In Post	<p>The number of staff working in HMPPS and with a contract of employment with HMPPS, excludes those on career breaks and those on secondment or loan outside of HMPPS but includes staff on secondment or loan into HMPPS. Staff in post can be measured on either a headcount or full-time equivalent basis.</p> <p>Only staff in the public sector Prison Service HMPPS HQ and NPS are directly employed by HMPPS and therefore staffing in private sector establishments, community rehabilitation companies and other contractors are excluded. The public sector Prison Service includes a number of Immigration Removal Centres that are operated by HMPPS on behalf of the Home Office and STC Medway which is operated by HMPPS on behalf of Youth Justice Board and staffing within these establishments is included.</p>
Joiners	All those individuals newly and externally recruited into a post who have started work in HMPPS (for band 3-5 prison officer grades, this includes those who have commenced the prison officer entry level training, known as POELT). This includes those newly recruited from outside the Civil Service, those returning to the department who had previously left the department, those transferring to a post from another Government Department (including the central Ministry of Justice) on a permanent basis, but not those on secondment or transfers/promotions from within the department itself. Joiners also referred to as those who have been newly appointed.
Internal Conversions of Existing HMPPS Staff to Prison Officer	These figures relate to existing HMPPS staff who became prison officers. These figures are provided in addition to new officer recruits to provide a complete picture of the recruitment of officers. The staff involved are not however, counted amongst either joiners or leavers into or out of HMPPS.
Leavers	All those individuals leaving a post and ceasing to work for HMPPS for any reason. This does not include those taking up external posts on secondment, who would be expected to return or those taking a career break. Staff who transferred out of HMPPS as a result of machinery of Government changes were generally not included within leaver numbers. Staff moving to the private sector as part of a transfer of control of an entire establishment were also generally not included as leavers.
Underlying Leaving Rate	The underlying leaving rate of staff is the number of permanent staff who left HMPPS (other than by Voluntary Early Departure Scheme (VEDS), voluntary redundancy or compulsory redundancy but including early retirees) in the last 12 months divided by the average number of permanent staff in post in the last 12 months. The average is calculated as the mean of the start and ends of the year and the three quarter ends within the year.
FTE – Full Time Equivalent	This is a measure of the staffing resource available based on contracted hours. Where a member of staff works the standard hours for their grade they are counted as full-time (1 FTE). Staff

	<p>who work less than standard hours are allocated an FTE in proportion to their contracted hours and the standard hours for the grade. Additional work undertaken in addition to standard hours, such as overtime is not taken into account in calculating FTE.</p>
Headcount	<p>Headcount means the actual number of individuals within the workforce. Both part-time and full-time individuals are counted equally, irrespective of the number of hours worked. Headcount is the preferred measure in counting the population for a basic demographics profile and analysis of equality and diversity data. Headcount is preferred also when looking at the number of individuals joining or leaving the department, as the FTE of an individual at the point of joining or leaving often is not reflective of the FTE the same individual had or will have during the period for which they are in post.</p>
Protected Characteristic	<p>The Equality Act 2010 introduced the term "protected characteristics" to refer to groups that are protected under the Act. These are: age, disability, ethnicity/race, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, religion or belief, sexual orientation</p>
BAME	<p>Black, Asian and Minority Ethnic. This is a standard term used across Government and in wider society to describe collectively all those declaring themselves to be of a non-white background. Any individuals describing themselves as 'White British', 'White English', 'White Welsh', White Scottish, 'White Irish', 'White Irish Traveller', or 'White Other' will not be classified as BAME, on the basis that each of these elements constitutes the majority ethnic grouping of the UK. The nationality of these individuals is irrelevant.</p> <p>All other declarations will be recorded as of a BAME origin, on the basic principle that they will all be part of a grouping which is not of the UK ethnic majority as defined above.</p>
Unknown	<p>The unknown category against protected characteristics includes those who have actively stated that they prefer not to disclose information on the protected characteristic, those who have not provided any response and those who have not been asked to declare.</p>
LGB	<p>Lesbian, gay and bisexual.</p>
Declaration Rate	<p>The percentage of staff in post headcount who have actively made a declaration within a protected characteristic (excluding those who specified that they chose not to declare).</p>
Representation Rate	<p>The percentage of staff that are, or have made a declaration that they are in a particular category or group of categories (usually a minority group) within a protected characteristic. Where the declaration rate is less than 100%, the percentage is of all those with a known declaration, excluding all unknown, not declared, not surveyed and those who have chosen not to declare. This is the best estimate of the actual representation of the group in question within the population. However, as the proportion of staff making declarations decreases, the accuracy of the representation rate is</p>

	likely to decrease, as members of some groups may be less likely to choose to declare than others. Therefore where the declaration rate is less than a minimum threshold of 60%, a representation rate is not given as it is not likely to have any meaningful indication of the actual representation within the population in question.
Reasons for Leaving	
Resignation	Staff who tendered their resignation from NOMS.
Retirement	Staff who retired from NOMS and take part or all of their pension. This will normally be at or beyond minimum retirement age but could be earlier. Staff taking medical retirement were not included as retirements. This will not include staff who immediately return as re-employed pensioners.
Medical retirement	Staff who retired for medical reasons after occupational physician ill-health retirement consideration and where ill-health retirement had been granted after a Capita report.
Voluntary exit	This could have been offered where the organisation wished to reduce staff numbers by offering an early exit scheme or an early exit package to an individual. There was no compulsion on individuals to accept the offer. There was a standard tariff of 1 month's pay per year of service up to a maximum of 21 months for those under scheme pension age. Employers may have offered more or less than the standard tariff subject to limits. Tapering of compensation will have applied where the member was close to scheme pension age. For those over scheme pension age there was a maximum of 6 month's pay.
Voluntary redundancy	When a redundancy scheme is offered, the employer decide who they want to let go and what selection criteria is used. It is not necessary to apply for voluntary redundancy. Those who do apply do not have to accept the offer to go. However, the employer could make those individuals compulsorily redundant at a later stage. Those who apply for voluntary redundancy but the employer does not select, cannot be made to leave under compulsory terms for that exercise. Those who accept voluntary redundancy will receive a cash payment as compensation.
Compulsory redundancy	Before the employer can serve a redundancy notice, they will have followed the protocols for handling surplus staff situations or a similar process. A voluntary redundancy scheme must have already been offered and must be linked to the compulsory redundancy scheme, covering the same staff. Those made compulsorily redundant will receive a cash payment as compensation.
Dismissal	Staff can be dismissed for various reasons including conduct, poor performance, medical inefficiency and unsatisfactory attendance. Medical inefficiency occurs in situations when it becomes clear that a member of staff is absent and will not return to work in an acceptable timescale or is unable to give regular and effective service in the duties of their grade under Civil Service guidelines. Dismissal as a result of unsatisfactory attendance relates to staff who have been through the unsatisfactory attendance procedures. However under SOP, dismissals as a result of medical inefficiencies

	and unsatisfactory attendances have not been reported separately. These two categories of dismissals have therefore been combined.
Transfer to other Government department	Transfer to another Government Department as a civil servant, including other parts of the Ministry of Justice outside of HMPPS as a result of individual arrangements. Does not cover machinery of Government movements.
Public Sector transfer	These represent movements of staff to other employers within the public sector other than transfers to another Government Department as a civil servant.
Other Leavers	Other leavers mainly consist of transfers to Other Government Departments and end of temporary contracts. Where movements are the result of structural changes involving parts of the organisational moving out from HMPPS they are not counted as leavers.