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23 June 2014

To: All Members of the Corporate Committee

Dear Member,

Corporate Committee - Thursday, 26th June, 2014

I attach a copy of the following report appendices for the above-mentioned meeting which were omitted from the agenda at the time it was collated:

**9. INTERNAL AUDIT PROGRESS REPORT - 2013/14: QUARTER 4
(APPENDICES C AND D) (PAGES 1 - 10)**

Report of the Assistant Director of Corporate Governance to advise the Committee of the work undertaken by the Internal Audit Service in completing the 2013/14 Annual Audit Plan, together with the responsive pro-active fraud investigation work, and housing benefit fraud investigation work. The report also provides information from the Council's Human Resources (HR) service area in respect of work undertaken in supporting disciplinary action taken across all departments by respective Council managers; and consultants employed by the Council.

Yours sincerely

Oliver Craxton
Principal Committee Co-Ordinator

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Haringey Council – Corporate Committee

**Disciplinary Case Analysis
January 2014 to March 2014**

Introduction

The information in this report is taken from SAP, covering the period **January 2014 – March 2014**.

The data is based on Haringey Council employees who

- hold Permanent, Temporary or Fixed Term Contracts

Note that this data excludes:

- Casual or Sessional Workers
- Schools
- Agency Workers

Legend	
Chief Operating	CO
Deputy Chief Executive	DCE
Regeneration, Planning & Development	RP&D
Leader and Chief Executive Office	L&CEO
Haringey Council	HGY

The Council's Disciplinary Procedure is considered as a tool to assist in good management and not solely as a means of imposing sanctions or setting out procedures leading to dismissal.

The procedure aims to:

- Allow managers to address issues of unsatisfactory conduct and seek improvements in behaviour
- Ensure that employees covered by the procedure are treated fairly and consistently
- Ensure that proper and adequate procedures are observed before any disciplinary decisions are taken
- Help and encourage all employees to achieve and maintain standards of conduct, attendance and job performance
- Maintain discipline essential to the delivery of high quality services
- Protect the health, safety and well being of staff, service users and members of the public
- Safeguard the integrity and good reputation of the Council
(Disciplinary Procedure September 2012)

Disciplinary Cases

This section looks at the number of formal actions taken against employees under the disciplinary procedure.

Disciplinary Cases by Directorate				
Directorate	Cases Open	Cases Closed	No of cases	No of employees
CO	4	1	5	5
DCE	4	10	14	13
RP&D	4	5	9	9
L&CEO	0	0	0	0
Total	12	16	28	27

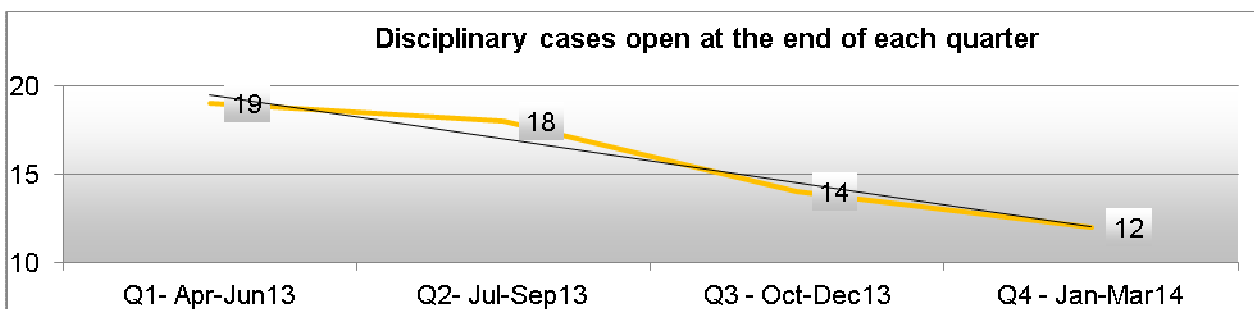
Please note that the total number of cases is **28**, but this only represents **27** employees. The reason being is that one employee can have more than one case in the same period. For example, an employee’s dismissal could count as one case and their appeal as another.

The following table looks at the stages of Disciplinary cases.

Stages of Disciplinary Cases				
Stage	Cases Open	Cases Closed	Total	%
Invest. - not suspended	2	4	6	21
Invest. - suspended	7	7	14	50
ET	2	0	2	7
Appeal	1	5	6	21
Total	12	16	28	100

- **12** cases remain ‘open’ at the end of this quarter compared to **14** cases in the previous quarter

The following graph looks at the number of disciplinary cases open each quarter.



The following table identifies the outcomes of the 16 cases that were closed in this period.

Disciplinary Case Outcomes						
Outcome	Invest. - not suspended	Invest. - suspended	Invest. - appeal	Invest. - ET	Total	%
Compromise agreement	0	1	0	0	1	6
Dis. Appeal Dismissed	0	0	2	0	2	13
Dis. Appeal Part Upheld	0	0	0	0	0	0
Dis. Appeal Upheld	0	0	3	0	3	19
Dis. Appeal Withdrawn	0	0	0	0	0	0
Dis. Dismissal	0	0	0	0	0	0
Dis. ET Dismissed	0	0	0	0	0	0
Dis. ET Withdrawn	0	0	0	0	0	0
Dis. Final Written Warning	0	1	0	0	1	6
Dis. No Action	0	1	0	0	1	6
Dis. Other	0	0	0	0	0	0
Dis. Relegation/Demotion	0	0	0	0	0	0
Dis. Resigned	1	1	0	0	2	13
Dis. Verbal Warning	1	0	0	0	1	6
Dis. Warning & Sanction	0	0	0	0	0	0
Dis. Written Warning	2	0	0	0	2	13
Escalated to next stage	0	0	0	0	0	0
Suspension Lifted	0	3	0	0	3	19
Total	4	7	5	0	16	100

This table displays reasons for Disciplinary action against employees.

Reasons for Disciplinary Cases				
Reason	Cases Open	Cases Closed	Total	%
Assault	0	1	1	4
Attendance	0	2	2	7
Behaviour	5	3	8	29
Fraud / Theft	1	5	6	21
Misuse of resources	1	1	2	7
Negligence	4	3	7	25
Other	1	1	2	7
Total	12	16	28	100

This table looks at the ethnic breakdown and gender split for Disciplinary cases

Disciplinary Case employee representation by Ethnicity and Gender						
	Female		Male		All	
Ethnic Class	Total	%	Total	%	Total	%
B A M E	13	59	9	41	22	81
White	2	40	3	60	5	19
Total	15	56	12	44	27	100

The following table looks at the ethnic breakdown across grade bands.

Disciplinary Case employee representation by Ethnicity and Grade Band (T = Total no. in grade band, WF = % of total disciplined employees)													
HGY	Ethnic Group	SC1-SC5		SC6-SO2		PO1-PO3		PO4-PO7		PO8+		TOTAL	
		T	WF	T	WF	T	WF	T	WF	T	WF	T	WF
	B A M E	10	37	5	19	4	15	3	11	0	0	22	81
	White	0	0	2	7	2	7	0	0	1	4	5	19
	Total	10	37	7	26	6	22	3	11	1	4	27	100

Suspensions

This table shows a summary of suspension cases.

Summary of Suspension Cases	
Case status	Total
No. of cases heard	7
No. of cases not concluded	7
No. of cases not concluded - leaver	0
Total	14

Timescales (no of days) of Suspension Cases

The table below looks at the **14** suspension cases and identifies the no. of working days each case has taken. If a case has not concluded by the end of the quarter, the number of working days is calculated from the start date of the suspension to the end of the quarter.

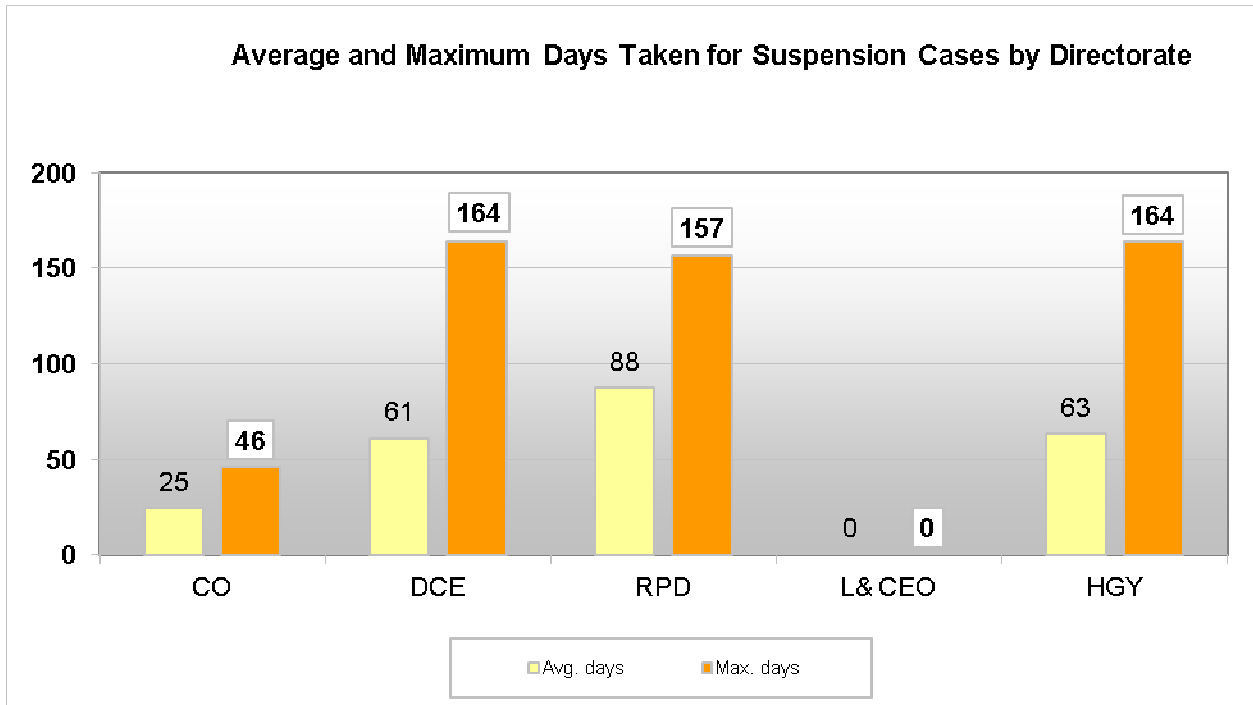
The table also identifies by directorate, the average number of days suspension for all cases, the maximum days for a single case and the number of cases heard within that period.

Timescales (no of days) of Suspension Cases										
Directorate	1-60	61-120	121-180	181-240	240+	Total cases	Total days	Avg. days of total cases	Max. Days	Total cases heard
CO	2	0	0	0	0	2	49	25	46	0
DCE	5	2	1	0	0	8	488	61	164	5
R P&D	2	0	2	0	0	4	350	88	157	2
L& CEO	0	0	0	0	0	0	0	0	0	0
HGY	9	2	3	0	0	14	887	63	164	7
Total cases closed	3	1	3	0	0	7				

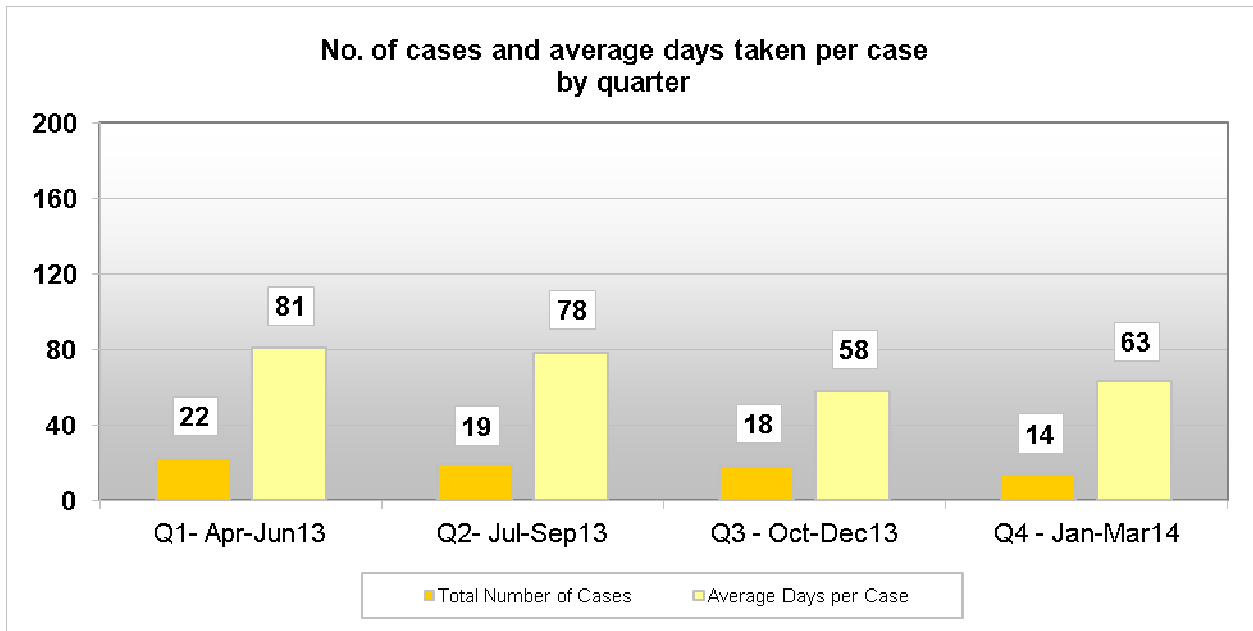
On average, **63** days were spent on each suspension case within the quarter.

Suspensions (continued)

The chart below illustrates the average and maximum number of days taken for a suspension case by Directorate for the quarter.



The chart below looks at the number of suspension cases per quarter for a rolling year and highlights Haringey Council's average number of days per case.



The average number of days suspended for the quarter was **63** with a total of **14** cases. **7** of these cases remain open at the end of **Quarter 4**.

Dir	Director/AD	Manager	Status	Established Post/ Change Programme	Start date	Original End Date	Revised End date	name of consultancy / agency or if applicable mark 'Self Employed'	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
COO	Single Frontline Services	Stephen McDonnell	Consultant	BIP	05/05/2007	31/03/2014	31/10/2014	Penna Recruitment Agency	£290	3	Revenue	Provides specialist advice and support for software (Confirm), building asset database, IT solution for NAT and training team. Mobilisation of Highways contract and mobile working support
Regen, Planning & Dev	Corporate Property Services	Jon McGrath	Consultant	Project	01/11/2008	30/09/2013	30/09/2014	Self Employed: Property Design & Consultancy Ltd	£450	2	Capital	Specialist property skills, advice and support related to Spurs project and 639 High road
Regen, Planning & Dev	Planning, Regeneration & Economy	Lyn Garner	Consultant	Project	15/01/2009	31/03/2014	30/09/2014	Penna Recruitment Agency	£675	2 to 3	Revenue	To supply Planning and Regeneration Services
DCE	Childrens Services	Lesley Kettles	Consultant	Sessional staff	01/06/2011	31/12/2013	31/12/2014	Self Employed	£245	1 to 2	Revenue	Independant assessor supporting Adoption team in the assessment of relatives and fosters carers as Special Guardians and prospective adopters
DCE	Childrens Services	Lesley Kettles	Consultant	Sessional staff	01/06/2011	31/12/2013	31/12/2014	Self Employed	£245	1 to 2	Revenue	Independant assessor supporting Adoption team in the assessment of relatives and fosters carers as Special Guardians and prospective adopters
DCE	Schools & Learning	Jon Abbey	Interim	Add capacity	01/09/2011	31/03/2014	no end date flexible contract	Self Employed	£500	5	Revenue	School Improvement Advisor
Regen, Planning & Dev	Corporate Property Services	Jon McGrath	Consultant	Project	01/10/2011	30/09/2013	31/12/2014	Self Employed: Simon Consultancy	£380	3	Revenue	Assist with priority work streams of the Haringey Property review and provide strategic advice.
COO	Customer Services	Paul Ellicott	Consultant		01/12/2011	30/11/2013	31/10/2014	Self Employed	£432	as & when	Revenue	Works on an occasional basis only. Monitors our HB Subsidy claim and advises on areas where we can further increase our income through subsidy
DCE	Childrens Services	Ros Cooke	Consultant	Project	31/05/2012	30/03/2013	30/09/2014	Self Employed	£350 +£20.00 travel	2	Revenue	2012-13 developed places for 2 Year Old programme from 2013 -14 leads on improving quality for 2 year olds places
COO	Single Frontline Services	Stephen McDonnell	Interim	Est.Post	13/08/2012	30/09/2014	30/09/2014	Gatenby Sanderson Recruitment Agency	£600	5	Revenue	Provide strategic lead for Community Safety within Haringey and establish a revised structure. Advert out for post interviews planned for end of September-Head of Community Safety post 50214075
COO	Customer Services	Paul Ellicott	Consultant	Project	01/09/2012	31/03/2014	30/06/2014	Indigo Edge Management Consultancy Agency	£500	2	Revenue/ Grant	Project Manage the Welfare Reform Programme

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COO	Customer Services	Paul Ellicott	Consultant	Project	01/09/2012	31/03/2014	30/06/2014	Indigo Edge Management Consultancy Agency	£500	2	Revenue/ Grant	Project Manage the Welfare Reform Programme
COO	Corporate Finance	Kevin Bartle	Interim	In the process of being made permanent	12/12/2012	04/10/2013	28/02/2014	Allen Lane Interim Recruitment Agency	£300	5	Revenue	Senior Capital Accountant
DCE	PEI	Charlotte Pomey	Consultant	Est.Post	21/02/2013	30/08/2013	01/09/2014	Ameo Recruitment Agency	£630	2 to 4	Revenue	Assist with preparing Youth, YOS and Alternative Provision to move to a commissioning approach. Interviews being held on 13/06 to recruit permanently, expected end date Sep 2014
DCE	Childrens Services	Elaine Redding	Interim	Add capacity	29/04/2013	31/03/2014	31/03/2015	Sanctuary Personnel Ltd	£518	3	Revenue	Interim cover for HoS Commissioning & Placements (Adoption & Fostering)
COO	Single Frontline Services	Stephen McDonnell	Interim	Est.Post	07/05/2013	30/04/2014	30/09/2014	Odgers Interim Recruitment Agency	£600	5	Revenue	Backfill parts of AD SFL post: Traffic Management, Neighbourhood Action Team, Regulatory Services post 50011230
Regen, Planning & Dev	Director	Lyn Garner	Consultant	Project	27/05/2013	27/06/2014	27/06/2014	Gatenby Sanderson Recruitment Agency	£855	4	Revenue	To develop a strategy to set out Haringey's housing regeneration approach
DCE	Schools & Learning	Jon Abbey	Interim	Est.Post	01/07/2013	31/12/2013	30/09/2014	Penna Recruitment Agency	£600	5	Revenue	Interim Head of Schools HR
DCE	Childrens Services	Paul Senior	Interim	Est.Post	01/07/2013	04/10/2013	30/06/2014	Self Employed	£460	5	Revenue	Head of Youth and Community Participation
DCE	PEI	Jan Doust	Consultant	Project	03/07/2013	27/09/2013	30/06/2014	Ameo Recruitment Agency	£595	2	Capital	To review the YOS and prepare them for the regulatory inspection. Extended to end March 2014 to provide additional support pending recruitment
DCE	Childrens Services	Kevin Feaviour	Consultant	Project	01/08/2013	31/07/2014		Self Employed	£32,000 in total	5	Revenue	Manage and run the Unity Radio project
COO	HR	Tracie Evans	Interim	Est.Post	05/08/2013	31/05/2014	31/09/2014	Penna Recruitment Agency	£730	5	Revenue	Interim Head of HR
COO	Environmental Services & Community safety	Hazel Simmonds		Pre-established	02/09/2013		31/12/2014	Hays	£497	5	Grant	Integrated Offenders Manager Strategic Lead, post to be incorporated into the planned restructure, timeline given until Dec 2014
DCE	Childrens Services	Lisa Redfern	Consultant	Est.Post	19/09/2013	30/01/2014	30/09/2014	Agency - iPeople	£650 - £850 wef 01/01/2014	5	Revenue	Capacity - to work on Ofsted Readiness. Interim QA AD wef 01/01/2014
COO	HR	Jacque McGeachie	Consultant	Project	30/09/2013	30/06/2014		Penna Recruitment Agency	£580	5	Revenue	Policy review, Case management Change and Restructure of HR/OD Gaps in strategic HR capability

Dir	Director/AD	Manager	Status	Established Post/ Change Programme	Start date	Original End Date	Revised End date	name of consultancy / agency or if applicable mark 'Self Employed'	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
COO	Environmental Services & Community safety	Clare Kowalska	Interim	Est Post	08/10/2013	30/06/2014		Hays	£250	5	Revenue	Covering maternity leave
DCE	Childrens Services	Lisa Redfern	Consultant	54K	19/11/2013	30/05/2014	30/09/2014	Agency - iPeople	£484	5	Revenue	Capacity - to work on Quality Assurance.
COO	Corporate Programme	Jacque McGeachie	Interim	Est.Post	02/12/2013	02/10/2014		Penna Recruitment Agency	£1,050	5	Revenue	Providing Interim support to shape the new Chief Operating Officer role and initiate and drive the Corporate Change Programme
COO	Community Housing Services	Phil Harris	Interim	Est.Post	03/12/2013	29/08/2014		Penna Recruitment Agency	£600	5	Revenue	Covering the vacant established position: Head of Housing Needs & Lettings
DCE	Childrens Services	Lisa Redfern	Consultant	Est.Post	09/12/2013	30/05/2014	30/09/2014	Agency - iPeople	£750	5	Revenue	Capacity - to work on Ofsted Readiness following transfer of ER to Interim QA AD
COO	Environmental Services & Community safety	Stephen McDonnell	Interim	Est Post	16/12/2013	31/07/2014		Odgers Interim Recruitment Agency	£750	5	Revenue	Interim Head of Libraries and Culture - is also working on the CST programme. Permanent recruitment for this role will begin in the summer with the intention of post being filled in Dec 2014
COO		Tracie Evans	Consultant	Project	13/01/2014	13/07/2014		Penna Recruitment Agency	£780	4	Revenue	Interim Director of Business Transformation. Working on the Customer Services Transformation and Business Infrastructure Transformation Programmes.
DCE	Childrens Services	Lisa Redfern		54k	03/02/2014	03/08/2014		Penna Recruitment Agency	£800	2	Revenue	support to Director in interim and then new role
DCE	Childrens Services	Elaine Redding	Interim	Est Post	24/02/2014	01/11/2014		lpeople	£600	5	Revenue	Interim Head of Service, Safeguarding and Support. Adding capacity
DCE	Childrens Services	Elaine Redding	Interim	Est Post	03/03/2014	01/11/2014		lpeople	£600	5	Revenue	Head of First Response -
COO	Corporate Programme	Tracie Evans	Interim	BIP	10/03/2014	09/03/2015 Extendable		Penna Recruitment Agency	£840	5	Revenue	BIP Programme Director
COO	Corporate Finance	Kevin Bartle	Consultant	BIP	25/03/2014	30/09/2014		CIPFA	£490	5	Revenue	Revision to Scheme of Financial Delegation and OneSAP projects

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