



Haringey Council

Agenda item:

Audit Committee

On 3 February 2009

Report Title: **Internal Audit Progress Report – 2008/09 Quarter 3**

Report authorised by: **Chief Financial Officer**

Report of and Contact Officer: Malcolm Gorrington, Interim Head of Audit and Risk Management

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Wards(s) affected: **All**

Report for: **Non-key decision**

1. Purpose of the report

1.1 To inform the Audit Committee of the work undertaken during the third quarter by the Internal Audit Service in completing the annual audit plan and any responsive fraud investigation work. In addition, the work of the Council's personnel division in supporting disciplinary action taken across all departments by respective council managers.

2. State link(s) with Council Plan Priorities and actions and /or other Strategies:

2.1 Audit and Risk Management contribute to the Council priority to deliver excellent, customer focused, cost effective services by reviewing key services and making recommendations for improvement where appropriate. Follow up work is undertaken to ensure that managers implement agreed recommendations and improvements.

2.2 Internal audit forms a key element within the revised Use of Resources assessment and will continue to be part of the CAA from 2009 onwards. The reports to both managers and the Audit Committee on progress against the agreed audit plan and the implementation of audit recommendations ensure that the requirements of the CAA assessment are fulfilled.

3. Recommendations

3.1 The Audit Committee is recommended to note the audit coverage and progress

during the third quarter 2008/09 and on the reports outstanding from 2007/08.

3.2 That the Audit Committee notes the progress and responses received in respect of outstanding audit recommendations.

3.3 That the Audit Committee considers whether any further action is necessary to address outstanding priority 1 recommendations.

4. Reason for recommendation(s)

4.1 The Audit Committee is responsible for monitoring the completion of the annual internal audit plan and the implementation of agreed recommendations as part of its Terms of Reference. In order to facilitate this, progress reports are provided on a quarterly basis for review and consideration by the Audit Committee.

4.2 Where further action is required or recommended, this is highlighted in the covering report and associated appendices and included in the recommendations for the Audit Committee.

5. Other options considered

5.1 Not applicable

6. Summary

6.1 The internal audit service makes a significant contribution to ensuring the adequacy and effectiveness of internal control throughout the authority. This report looks at the work undertaken in the quarter ending 31st December 2008 and focuses on:

- Progress by Deloitte and Touche (internal auditors) on internal audit coverage relative to the approved internal audit plan, including the number of audit reports issued and finalised
- Progress in implementing outstanding internal audit recommendations with special attention given to priority 1 recommendations
- Details of investigative work undertaken relating to fraud and/or irregularities that fall outside the remit of the Housing Benefit Fraud Investigation Team, including information in respect of disciplinary action taken.
- Brief update on risk management work undertaken.
- Update on the current and year to date performance of the service compared to target as highlighted by four key performance indicators

6.2 The information has been compiled from information held within the Audit & Risk Management Unit and from records held by Deloitte and Touche and Human Resources.

7. Head of Legal Services Comments

7.1 There are no specific legal implications in this report. Legal advice is obtained where appropriate in respect of investigations into financial irregularities.

8. Head of Procurement Comments

8.1 Not applicable

9. Equalities and Community Cohesion Comments

9.1 This report deals with how risks to service delivery are managed across all areas of the council, which have an impact on various parts of the community. Improvements in managing risks and controls will therefore improve services the Council provides to all sections of the community.

10. Consultation

10.1 No external consultation was required or undertaken in the production of this report. Consultation is undertaken with respective service managers, Assistant Directors and Directors are consulted in the production of individual internal audit reports and follow up programmes and their comments included in the final report which is circulated in accordance with the agreed internal audit reporting protocol.

11. Service Financial Comments

11.1 There are no direct financial implications arising from this report. The work completed by Deloitte and Touche is part of the five year contract which was awarded following a competitive tendering exercise in compliance with EU regulations from 1 April 2007. The costs of this contract are contained and managed within the Audit and Risk Management revenue budget.

12. Use of appendices

12.1 Appendix A – Deloitte and Touche Progress report
Appendix B – In-house Team – investigations into financial irregularities
Appendix C – Council-wide disciplinary information

13. Local Government (Access to Information) Act 1985

13.1 For access to the background papers or any further information please contact Malcolm Gorrige on 0208 489 5973.

14. Performance Management Information

14.1 Although there are no national or Best Value Performance Indicators, local performance targets have been agreed for Audit and Risk Management. These form part of Corporate Resources' reporting processes, but are detailed below for information. The table shows the targets for each area of audit activity monitored and gives a breakdown between the quarterly and cumulative performance.

PI Ref.	Performance Indicator	3 rd Quarter	Year to date	Target
A1	Audit work Completed vs. Planned programme	84%	89%	95%
A2	User satisfaction (1 = low, 5 = high)	4.40	4.00	3.75
A3	Time taken to complete investigations (2008/09 referrals)	9 weeks	11 weeks	12 weeks
A4	Priority 1 recommendations implemented at follow up (based on position as at 23/01/09)	90%	90%	95%

15. Deloitte and Touche

15.1 The activity of Deloitte and Touche for the third quarter of 2008/09 to date is detailed at Appendix A. This also includes details of all reports outstanding from 2007/08, which are separately identified. In this quarter, a total of 12 projects have been finalised, including 2 school visits. Deloitte and Touche is on target to deliver the audit plan in full by 31st March 2009.

15.2 The programme of planned follow up audits is also reported at Appendix A. The work of internal audit and the new reporting requirements to both the Audit Committee and Cabinet, which receive details of all outstanding Priority 1 recommendations as part of the 2008/09 corporate performance reporting arrangements, have ensured that managers take greater responsibility for implementing recommendations. Details of the outstanding Priority 1 recommendations from 2004/05 to 2007/08 are shown in the table below.

Year	Number of Priority 1 recommendations outstanding	Number of recommendations implemented or addressed at follow up	Implementation rate	Target
2007/08	20	18	90%	95%
2006/07	39	38	97%	95%
2005/06	7	4	57%	95%
2004/05	1	0	0%	95%
Total	67	60	90%	95%

15.3 At the previous Audit Committee, further details of all outstanding recommendations reported when the follow up work was undertaken were provided. Since July 2007, work has been ongoing, in conjunction with the Chief Financial Officer, to ensure that Directors were aware of the required actions necessary. As a result, Appendix A also contains a detailed explanation of the status of all priority 1 recommendations from 2004/05 and 2005/06 which were reported as 'not implemented' when the original follow up work was completed. Directors have been kept informed of progress at all stages and Internal Audit are satisfied that managers are taking appropriate action to address the issues raised in the original recommendations.

16. In-house Team – Fraud investigation/Irregularities

16.1 In accordance with the Council's Constitution, Internal Audit investigates all cases that fall outside the remit of the Housing Benefit Fraud Investigation Team and the Information Security Policy. Appendix B details the individual cases that were completed by the In-house Team during the first three quarters of 2008/09 and any which were brought forward from 2007/08.

16.2 Within the third quarter, 8 new cases were referred to Internal Audit for investigation, and 3 cases were completed during the quarter involving Council employees. The cases investigated during the third quarter covered allegations involving fraudulent misuse of resources and failure to disclose connections with local contractors. During 2008/09 to date, the average length of time taken to investigate each case was 11 weeks.

16.3 The council has a dedicated email address and telephone number, which is advertised on the Council website, by which members of the public can report instances of suspected fraud or irregularity. The In-house Team manage and monitor these referrals. During quarter three, six referrals in relation to new allegations were made via the council's email reporting facility. Of these, four related to housing benefit/council tax issues and were referred to the Housing Benefit Fraud Investigation Team. One referral was in respect of fraudulent electricity supply and one was in relation to an irregular homelessness application. No referrals were made via the telephone reporting facility.

16.4 The In-house Team also investigates claims of non-receipt of Council cheques. In 2008/09 to date, there has been one referral for investigation as reported in the previous quarter. The council has not lost any money, as the fraud was detected and the cheque was not cashed. Improvements in procedures, including the introduction of 'positive pay' whereby the council's banking team receives information on cheques before they are cleared, and new cheque security measures have substantially reduced the level of fraudulent activity in this area.

16.5 Appendix C details the number of disciplinary suspensions and/or action taken in the third quarter of 2008/09. The data is taken from SAP and the information has been provided in line with council statistics reported elsewhere. In addition, better management information is now available to assist in monitoring and reviewing outstanding cases in order to improve processes across all directorates.

17. Risk Management

- 17.1 Members requested that the Audit Committee receive regular information on risk management and progress on implementing the Council's updated risk management strategy. Whilst there is no detailed update for this quarter the annual report on risk management work will be submitted to the next meeting and this will include the submission of the updated strategy and corporate risk register for Member review. It will also include the latest position for all Business Units and Directorates who will provide copies of the latest version of their risk registers and the directorate risk registers as at March 2009
- 17.2 During the third quarter, business units and directorates have been updating their risk registers to reflect the agreed objectives and priorities for the 2008/09 business plans. They are also considering risks in relation to their business plans for 2009/10 and this will feed into the corporate risk register that is regularly updated and reviewed by CEMB.

**Internal Audit
Quarter 3 Internal Audit Report
2008/2009
London Borough of Haringey**

Deloitte & Touche Public Sector Internal Audit Ltd.
January 2009

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Executive Summary

Introduction

This is our third quarter report to the Audit Committee for the 2008/09 financial year including details of all reports which are now at final stage. The report provides information on those areas which have achieved full or substantial assurance and gives an indication of the direction of travel for key systems work which will provide Members with information on how risks are being managed over time. The format of this report is also designed to highlight the key risks facing individual departments and the Council which have been identified during the course of internal audit reviews. A more detailed summary of the limited assurance audit findings is included for information. The report draws together the summary information which is provided on a monthly basis to Members of the Audit Committee. Members of the Committee will also be provided with full copies of our audit reports upon request.

All recommendations are agreed with Council officers, and any disputes are discussed prior to the final report being issued. All recommendations to address any control weaknesses highlighted within this report have been agreed. Officers' actions to address the recommendations, including the responsible officer and the deadline for completion, are fully detailed in the individual final audit reports.

The attached tables reflect the status of the systems at the time of the audit, and recommendations may already have been implemented by Council officers by the time the final report is issued and reported to the Audit Committee. The audits highlighted in **bold** are those not previously reported to the Audit Committee.

As a reminder, our recommendations are prioritised according to the following categories:

- Priority 1* - major issues for the attention of senior management
- Priority 2* - other recommendations for local management action
- Priority 3* - minor matters and/or best practice recommendations

Key Highlights/ Summary of Quarter 3 2008/09:

- **Spine Road – Project management Assurance**
- **Passenger Transport Services**
- **Cemeteries and Crematoriums**

- Commissioning and Strategy – Risk Register Testing
- Disposal of Properties
- Building Schools for the Future (BSF) – Project management Assurance
- ALBACS
- Pre-Employment Checks

Audit Progress Summary – Quarter 3 2008/09:

The following table sets out the audits completed in this quarter and the status of the systems at the time of the audit. It must be noted that the recommendations may already have been implemented by Council officers by the time the final report is issued and reported to the Audit Committee. The audits highlighted in bold are those not previously reported to the Audit Committee.

Detailed summaries of all audits which do not receive 'Full' or 'Substantial' assurance ratings are also provided for Members' information.

Audit Title	Date of Audit	Date of Final Report	Assurance level	Direction of Travel	Number of Recommendations (Priority)			Comments
					1	2	3	
Spine Road – Project Management Assurance	June '08	Oct '08	Limited	N/A	5	3	1	
Passenger Transport Services	July '08	Oct '08	Substantial	N/C	0	2	9	
Cemeteries and Crematoriums	Aug '08	Oct '08	Substantial	N/A	1	6	1	
Pembury House Children's Centre	July '08	Nov '08	Substantial	N/A	0	2	0	
Broadwater Farm Children's Centre	July '08	Nov '08	Substantial	N/A	1	1	0	
Commissioning & Strategy – Risk Register Testing	Sept '08	Nov '08	Full	N/A	0	0	0	
Disposal of Properties	Sept '08	Nov '08	Substantial	N/A	1	5	1	
BSF – Project Management Assurance	Oct '08	Jan '09	Substantial	N/C	3	3	0	
ALBACS	Nov '08	Jan '09	Substantial	N/A	0	7	1	
Pre-Employment Checks	Sept '08	Jan '09	Substantial	N/A	1	4	0	

Detailed summaries:

Audit area	Scope	Status/key findings	Assurance
PROJECT MANAGEMENT ASSURANCE			
<p>Spine Road – Project Management Assurance 2008/09</p>	<p>The audit sought to identify and assess the application of the following processes:</p> <ul style="list-style-type: none"> • Application and compliance with the Council Project Management Framework arrangements; • Project monitoring and reporting; • Link to capital or revenue budget and monitoring and identification of early signals of projects being under/over spent or delayed; • Impact of risks and issues, and the distinction between the two; • Delegation of responsibility; • Monitoring of the Critical Path; and • Actions to ensure delivery of the project, and contingency reporting and actions. <p>In addition, upon completion of the project, we have sought to provide assurance that:</p> <ul style="list-style-type: none"> • The Council Project Management Framework has been complied with; • Project closure reports have been completed which include a review against original project objectives and benefits realisation at 	<p>Weaknesses in the system of controls are such as to put the system objectives at risk.</p> <p>The project has suffered a number of setbacks which have resulted in overruns and overspends. At the time of the audit the project had not been completed and through discussion with management, it was established that the revised target date for completion was August 2008. The reasons for this were the discovery of a high pressure gas main and large hidden void in the ground which had not been factored into works at the preliminary stage of the project.</p> <p>As a direct consequence of this, the contract price has increased and the project is overspending. At the time of the audit there was a profiled total spend of £5,967,000, a 20% increase in the project costs, of which £400,000 was to be funded by National Grid. Subsequently, Internal Audit has been advised that the final spend figure is £5.8 million, and negotiations are continuing with National Grid in order to attempt to secure additional contributions.</p> <p>The main contractor (Skanska McNicholas) completed their works by 16 May 2008. There were minor works outstanding, including the commissioning and testing of the signals which were the final stage of the project and delays here were partly due to the Traffic Signals group of TfL. The road is now open.</p>	Limited

Audit area	Scope	Status/key findings	Assurance
	<p>the completion of the project;</p> <ul style="list-style-type: none"> • Document management processes (including retention, storage and disposal) are in place with clearly defined responsibilities; and • Any best practice or 'lessons learned' issues are identified and there is a mechanism to incorporate these into future projects. 	<p>The following weaknesses were found with the project:</p> <ul style="list-style-type: none"> • The Project Manager was unable to provide a signed off Project Initiation Document (PID), although unsigned copies were available. • There is no evidence that the final monthly Project Highlight Reports were reviewed by management for completeness and accuracy • The Change Control mechanism had not been fully followed, although changes were recorded in the project issue log; • Payments had been made for invoices which were not agreed to any valuation of works certificate by an independent surveyor or clerk of works; and • The Financial Scheme of Delegation was not up-to-date and it was found that the current Project Manager had approved invoices for payment beyond his authorised financial limit. <p>As a result of our audit work we raised five Priority 1 recommendations, three priority 2 recommendations and one priority 3 recommendation to help improve controls in the area. The priority 1 recommendations are as follows:</p> <ul style="list-style-type: none"> • The Corporate PMO should develop a checklist of all key project documentation and issue this for use by Project Managers, who should then be required to confirm to the Corporate PMO that all documentation, signed where appropriate, are held on the project file; • Management should review the monthly Project Highlight Reports for completeness and accuracy throughout the project lifecycle and ensure that progress of the project 	

Audit area	Scope	Status/key findings	Assurance
		<p>against milestones and budgets are reported accurately;</p> <ul style="list-style-type: none"> • Project Managers and other relevant officers should be reminded of the requirement to follow the Change Control process fully and that an exception report is produced for any significant changes to enable the Project Board to take appropriate decisions; • All relevant officers should be reminded that each invoice should be agreed to a valuation of works certificate, prior to being approved for payment. The certificate should be provided by an independent surveyor/ clerk of works to ensure that the value stated by the contractor is accurate; and • Management should ensure that the PID details the posts which have the delegated responsibility to approve expenditure for the project. Furthermore, Urban Environment should carry out a review of their Scheme of Delegation and ensure that: <ol style="list-style-type: none"> 1. All authorised signatory records are completed appropriately and are up-to-date; 2. Budget Holders are updated in the Scheme of Financial Delegation; and 3. All authorised signatories are made aware of their financial limits for authorising invoices. 	

FMSIS Assessments and Summary:

Our work during 2008/09 will involve on checking compliance with the requirements of the Financial Management Standard in Schools (FMSiS).

All Primary, Infants, Junior and Special Schools are to be assessed as to whether they meet the requirements of the standard by 31st March 2010. To achieve this it is planned that these schools will be assessed over the three years as follows:

- 40% of schools by the 31st March 2008;
- 40% of schools by the 31st March 2009; and
- 20% of schools by the 31st March 2010.

Our schedule of visits to Primary Schools in 2008/09 covers 29 schools (43%). Of these, 22 schools have already been visited, including nine schools for which a final report has been issued confirming a 'Pass'. A draft report has been issued to the remaining 13 schools confirming a 'Conditional Pass', which requires all key recommendations to be implemented within 20 working days before a 'Pass' is confirmed. The final report for these 13 schools will be issued in Quarter 4. In any circumstances where schools are assessed as not meeting the standard, in accordance with FMSiS guidance, further time is being allowed to enable schools to provide the required evidence which would ensure that they achieve the standard. We liaise with relevant Secondary and Primary Schools and the Schools Finance Section to ensure that key recommendations are implemented as soon as possible.

The table below sets out the Primary Schools visited to date in 2008/09, where a final report has been issued, and the current status with regards to compliance with the Standard (which is reported as either pass or fail):

Primary School	Date of Assessment	Date of Final Report	Outcome (Pass/Fail)	Comments
The Vale Special School	16.06.08	Jul'08	Pass	
The Green CE Primary School	26.06.08	Sept'08	Pass	
Belmont Infant School	30.06.08	Sept'08	Pass	
Seven Sisters Primary School	03.07.08	Sept'08	Pass	
South Harringay Junior School	09.07.08	Sept'08	Pass	
Blanche Nevile Special School	10.07.08	Sept'08	Pass	
Rhodes Avenue Primary School	24.07.08	Sept'08	Pass	
Campsbourne Primary School	01.07.08	Dec'08	Pass	
Moselle School	15.10.08	Dec'08	Pass	

DELOITTE INTERNAL AUDIT - QUARTERLY AUDIT REPORT 2008/09

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Follow Up - 2006/07 audit work

AUDIT AREA	Assurance Level	Recommendations											Priority 1 Recommendations Outstanding					
		Category			Implemented					N/A								
		1	2	3	Total	1	2	3	Total	N/A	Not Imp.	In Progress						
Chief Executives – PPP&C																		
Programme Budget & Budget Control Reporting Independent Challenge	Substantial	1	6	0	7	0	5	0	5	0	0	0	5	2	0	0		0
Partnership Arrangements	Substantial	0	6	0	6	0	5	0	5	0	0	0	5	0	0	1		0
Chief Executives – P&OD																		
Payroll & Expenses	Limited	0	9	2	11	0	7	2	9	1	0	1	9	1	0	1		0
Corporate Resources																		
Debtors	Substantial	1	5	0	6	1	3	0	4	1	0	0	4	1	0	0		0
Creditors	Substantial	0	4	1	5	0	4	1	5	0	0	0	5	0	0	0		0
Treasury Management	Substantial	0	3	0	3	0	3	0	3	0	0	0	3	0	0	0		0
Strategic FM & Budgetary Control	Substantial	0	1	2	3	0	1	1	2	0	0	0	2	0	0	1		0
Council Tax	Substantial	0	1	1	2	0	1	1	2	0	0	0	2	0	0	0		0
Accounting & General Ledger	Substantial	0	3	0	3	0	3	0	3	0	0	0	3	0	0	0		0
NNDR	Substantial	2	2	0	4	2	2	0	4	0	0	0	4	0	0	0		0
Housing & Council Tax Benefits	Substantial	0	4	3	7	0	4	3	7	0	0	0	7	0	0	0		0
Contract & Document Mgmt – Legal Services	Substantial	1	3	1	5	1	3	1	5	1	3	1	5	0	0	0		0
Corporate Resources - IT Audits																		
Email Usage	Substantial	0	3	1	4	0	2	0	2	0	0	0	2	2	0	0		0

DELOITTE INTERNAL AUDIT - QUARTERLY AUDIT REPORT 2008/09

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AUDIT AREA	Assurance Level	Recommendations													Priority 1 Recommendations Outstanding				
		Category					Implemented					N/A	Not Imp.	In Progress					
		1	2	3	Total	1	2	3	Total										
Urban Environment																			
Temporary Housing Repairs	Substantial	2	5	0	7	1	4	0	5	2	0	0	0	0	0				0
Housing Association Leasing Scheme	Limited	6	3	1	10	6	3	1	10	0	0	0	0	0	0				0
Pointing of Housing Register applications	Limited	2	8	1	11	2	7	1	10	0	0	0	1	0	0				0
Waste Management	Limited	7	7	0	14	6	7	0	13	0	0	0	1	0	0				1
Health and Safety-Environmental Services	Limited	3	3	0	6	3	3	0	6	0	0	0	0	0	0				0
Parking Control and Enforcement	Substantial	2	5	0	7	2	4	0	6	1	0	0	0	0	0				0
New Deal for Communities	N/A	6	5	0	11	6	5	0	11	0	0	0	0	0	0				0
Adults, Culture & Community Services																			
Haringey Integrated Community Equipment Services (HICES)	Limited	4	9	1	14	4	5	0	9	5	0	0	0	0	0				0
Children and Young People's Service																			
Sure Start: Early Years	Substantial	2	4	2	8	1	3	2	6	2	0	0	0	0	0				0
Financial Monitoring of Schools	Substantial	0	3	1	4	1	2	0	3	1	0	0	0	0	0				0
Building Schools for the Future – Project Management	Substantial	0	3	1	4	0	3	0	3	1	0	0	0	0	0				0
Total		39	105	18	162	36	90	13	139	18	0	5	1						

Implemented – officers has indicated through self-certification the progress of recommendations. We have verified a sample of responses.
N/A – the recommendation is no longer applicable due to changes in the system, or alternative action has been taken to address the risk.
Not implemented – the recommendation has not been addressed, alternative action has not been taken.
Partly implemented – officers have started implementation of recommendations

Follow-up of Internal Audit Recommendations

Follow Up - 2007/08 audit work

AUDIT AREA	Assurance Level	Recommendations														Priority 1 Recommendations Outstanding			
		Category					Implemented					N/A	Not Imp.	In Progress					
		1	2	3	Total	1	2	3	Total										
Urban Environment																			
Compliance with Procurement Procedures - Streetscene	Substantial	1	5	0	6	0	2	0	2	0	0	0	2	4	0	0	0	0	0
CCTV Systems	Substantial	2	2	1	5	2	2	1	5	0	0	0	0	0	0	0	0	0	0
Pro-active Anti-fraud – Blue Badges	Limited	6	3	0	9	6	2	0	8	0	0	0	0	0	0	1	0	0	0
Pro-active Anti-fraud – Freedom Passes	Limited	2	4	0	6	1	3	0	4	0	0	0	2	0	0	0	0	0	0
Management of ALMO	Substantial	0	1	1	2	0	0	1	1	0	0	1	1	0	0	0	0	0	0
Corporate Resources																			
Cash Receipting	Substantial	0	3	3	6	0	3	2	5	0	0	0	1	0	0	0	0	0	0
Customer Services	Substantial	1	2	0	3	1	2	0	3	0	0	0	0	0	0	0	0	0	0
Un-metered Electricity Supply	Substantial	0	6	0	6	0	4	0	4	0	0	0	2	0	0	0	0	0	0
E-Procurement: Energy Management-Team	Limited	1	9	0	10	1	9	0	10	0	0	0	0	0	0	0	0	0	0
IT Procurement	Substantial	0	4	4	8	0	4	4	8	0	0	0	0	0	0	0	0	0	0
Children and Young People's Service																			
Recoupment	Substantial	0	3	1	4	0	3	1	4	0	0	0	0	0	0	0	0	0	0
Primary Capital Programme	Substantial	3	0	0	3	1	0	0	1	0	0	0	0	0	0	2	0	2	0
Adoption	Substantial	0	1	0	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0

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AUDIT AREA	Assurance Level	Recommendations											Priority 1 Recommendations Outstanding		
		Category			Implemented				N/A	Not Imp.	In Progress	0			
		1	2	3	Total	1	2	3						Total	
Formula Funding/ Fair Funding	Substantial	1	3	0	4	1	3	0	4	0	0	0	0	0	0
Adults, Culture & Community Services															
Compliance with Procurement Procedures - Parks	Substantial	2	3	0	5	2	3	0	5	0	0	0	0	0	0
Appointeeship and Receivership	Limited	1	10	3	14	1	5	2	8	1	1	4	0	0	0
Total		20	59	13	92	16	46	11	73	11	1	7	2	0	0

Implemented – officers has indicated through self-certification the progress of recommendations. We have verified a sample of responses.

N/A – the recommendation is no longer applicable due to changes in the system, or alternative action has been taken to address the risk.

Not implemented – the recommendation has not been addressed, alternative action has not been taken.

Partly implemented – officers have started implementation of recommendations

Detailed Progress Report - Outstanding Priority 1 – 3 Recommendations 2006/07

Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status	Comments/Update
CORPORATE RESOURCES					
Strategic Financial Management & Budgetary Control					
1	Corporate Finance should clarify the current procedures on virements to include those within the business units and communicate the revised procedures to all relevant staff.	3	ASAP	<p>Partly Implemented</p> <p>A draft set of Financial Regulations are currently going through a consultation process. This is due to be finalised in March 2009. Under the proposed financial regulations, Business Heads may authorise virements below £50k provided that expenditure remains unchanged. Changes between £50k and £250k may be authorised by the relevant Business Unit Heads and approved by the Director/ Assistant Chief Exec.</p> <p><i>Deadline: March 2009</i></p>	
CHIEF EXECUTIVES – PEOPLE & ORGANISATIONAL DEVELOPMENT					
Payroll & Expenses					
2	<p>The list of authorised signatories should be promptly updated as changes occur.</p> <p>An exercise should be conducted whereby all departments are requested to provide an up-to-date signatories list, which reconfirms existing authorised signatories, and includes new ones.</p>	2	March 2007	<p>In Progress</p> <p>The management response to the recommendation raised in our 2006/07 Internal Audit report indicated that a list of authorised signatories would be completed within two months of the Council re-structure in early 2007. However, the Pay Control Manager has confirmed that this is still in progress and an approved list is still not in place.</p> <p>Update 16.1.09: HR will ensure that pay changes for an individual employee</p>	

DELOITTE INTERNAL AUDIT - QUARTERLY AUDIT REPORT 2008/09

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status	Comments/Update
				are authorised at an appropriate level in the organisation i.e. Head of Service/ Business Unit level. E-forms are being modified to include a new field for the appropriate authorisation to be confirmed. The use of the forms will cover changes in terms and conditions, job grades and other changes. The modified forms will be in use by end of February 2009. Presently, an email or other communication is received from the Line Manager requesting changes and these are put through on the basis that the changes are in line with individual budgets. <i>Revised Deadline: February 2009</i>	
URBAN ENVIRONMENT					
Pointing of Housing Register Applications					
3	All relevant staff should formally declare any personal interest they may have in the processing of applications, awarding of points and approval of successful applicants. A Declaration of Interest register should be maintained by a delegated officer and updated on a regular basis.	2	June 2007	Partly Implemented Update received from management on 12.1.09: All new staff are advised on the need to declare any conflict of interest as part of their induction. Where it is identified that a housing application or homelessness application is being made by a member of staff or a member of their immediate family, the case is dealt with by a senior officer. Where an officer identifies that a case involves a friend or someone that they know, the case is dealt with by their senior. There is no declaration of interest register which covers such situations. This will be taken forward. <i>Revised Deadline: January 2009</i>	
Waste Management					
4	'Household' information should be uploaded on the Mayrise system at Haringey Accord to assist with the	1	August 2007	In Progress	

Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status	Comments/Update
	<p>production of performance reports.</p> <p><i>Internal Audit Note:</i> <i>Haringey Accord have been taken over by Enterprise.</i></p>			<p>Management update at November 2008:</p> <p>The Council has engaged with Enterprise with regard to the potential for using the LLPG to assist in the production of performance reports. Enterprise is currently estimating that the change to using Works Manager will happen in Dec 08 / Jan 09. The Council will seek agreement for Works Manager to link with the LLPG when Works Manager is implemented or as soon as possible afterwards.</p> <p>Enterprise are yet to confirm a date when Works Manager and LLPG will be implemented on the Haringey contract.</p>	<p><i>Revised Deadline: Not given, as dependent on Enterprise</i></p>
<p>CHIEF EXECUTIVE'S – PPP&C</p>					
<p>Partnership Arrangements</p>					
5	<p>A clearly defined consultation strategy should be developed and incorporated within the overall strategy for each partnership arrangement.</p> <p>Consultation strategies should be communicated to all responsible individuals and stakeholders, and should define who will be consulted, methods of consultation, responsibility for consultation and how consultation findings will be utilised.</p>	2	May 2008	<p>In Progress</p> <p>A Communications and Consultation Strategy is being developed both for the Council and the HSP. The development of the strategies is being led by Mike Browne, Head of Communications for the Council. This will support complementary principles and actions across the Council and its partners. The HSP Communications and Consultation Strategy will govern the activities of all the sub-groups of the HSP in this matter.</p> <p>Update 23.1.09: The development of the strategy is still on course. A new HSP Community Engagement Framework is in development to take account of the new 'Duty to Involve' legislation, which incorporates linking these strategies.</p>	<p><i>Revised Deadline: March 2009</i></p>

Detailed Progress Report – Outstanding Priority 1- 3 Recommendations 2007/08

Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status	Comments/Update
URBAN ENVIRONMENT					
Pro-Active Anti Fraud – Blue Badges					
6	<p>The format of the application form used for institutional applicants should be revised to allow for the recording of the following information:</p> <ul style="list-style-type: none"> Name and signature of the officer processing the application; Name and signature of the Concessionary Travel Manager authorising the issue of the badge; And Company registration number of the applicant. <p>A copy of the institution's registration certificate should be requested and kept on file.</p>	2	September 2007	<p>Partly implemented</p> <p>The format of the application form has been updated. This now includes a box for the Officer processing the application and the Concessionary Travel Manager to sign. However, the old application form required that the institution provides the company registration number, which is not the case with the new application form.</p> <p>As this forms part of the recommendation, this is therefore only partly implemented.</p> <p>Update 15.1.09: The responsible officer has confirmed that a new form for institutional applicants is currently at the printers along with other forms.</p> <p><i>Revised Deadline: February 2009</i></p>	
CHILDREN AND YOUNG PEOPLE'S SERVICE					
Primary Capital Programme					
7	<p>A Project Initiation Document (PID) should be developed for all key projects and should be authorised by the Project Sponsor and Corporate Finance, in line with the Council's Project Management Framework.</p> <p>Management should consider</p>	1	Changes suggested to start immediately	<p>In Progress</p> <p>Management Update 15.1.09: The Primary Strategy for Change bid (Programme Business Case) was submitted to the DCSF in June 2008. This bid formed the basis of Haringey's proposed delivery plan for Primary capital programme for 2009/10 onwards.</p>	

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status	Comments/Update
	<p>developing an approval process for related projects (such as a reduced PID)</p>			<p>Audit were advised in August 2008 that on receipt of approval of the bid:</p> <ul style="list-style-type: none"> a. A PCP programme PID would be drafted and submitted for Council approval by December 2008; b. A mandate would be given to proceed with project brief development and approval for 2 major projects - Broadwater Farm Inclusive learning campus and a School expansion project by September 2008; and c. Feasibility studies and a draft of the business cases would be completed by November 2008. <p>The council were anticipating a response from DSCF by September 2008 but did not receive a response until November 2008.</p> <p>The bid (business case) approval was deferred until the submission of evidence of adherence to 2 Nr Conditions within the programme delivery plan by 31st March 2009:</p> <ul style="list-style-type: none"> a. More detail is required for Choice and diversity; and b. More detail is required for ICT change management & procurement. <p>On receipt of the feedback to the Councils bid in November 2008, the Project Sponsor/Programme Board gave approval to the respective PCP project briefs and approval to proceed with the feasibility studies and preparation of the project business cases.</p> <p>The present projected programme milestones are:</p> <ul style="list-style-type: none"> a. Completion the draft PCP programme PID – March 2009; and b. Approval of PCP programme PID – April 2009 (critical path is subject to the milestone – ‘the receipt of DCSF 	

Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status	Comments/Update
				approval of the additional information requested to support Haringey's bid/business case').	
				Revised Deadline: April 2009	
8	<p>A Business Case should be developed for the Programme and for all individual projects within the programme, in line with the Council's Project Management Framework.</p> <p>For smaller projects, the Business Case should be approved by the Project Sponsor or management team, and that for projects that report to the Programme, the Business Case must also be signed off by Corporate Finance and agreed by the Stream Board.</p>	1	System now in place	<p>Partly Implemented</p> <p>Please see comments above</p> <p><i>Deadline: April 2009</i></p>	See above.
ADULTS, CULTURE & COMMUNITY SERVICES					
Appointeeship & Receivership					
9	<p>Management should liaise with the Head of Corporate Finance to consider holding Appointeeship service user funds in interest bearing bank accounts, for the benefit of the clients.</p> <p>Consideration should be given to apportioning all interest earned on these accounts in an appropriate</p>	2	March 2009	Partly Implemented	<p>The Service is still in discussion with Corporate Finance and the deadline for the implementation is expected to be met.</p>

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status	Comments/Update
	<p>manner and crediting the interest to individual clients, based on the level of funds that they hold. In all cases, it should be specified whether the interest is credited gross or net, for tax return purposes.</p>				
10	<p>Management should put in place a process for invoices to be raised in a timely manner for all the relevant cases where care is provided to service users.</p>	2	<p>March 2009 – System purchase September 2009 – actual implementation</p>	<p>Partly Implemented We were informed that there is currently nothing in Framework-i to enable this functionality. The new system is likely to be purchased by March 2009. However, the actual implementation, allowing the interface to be configured may have to be delayed to September 2009. Management will be looking to have interface between Framework-I and the charging system. Management Update 15.1.09: In light of the implementation of Framework-i Finance, the service will use reconciliation reports, cross referenced to SAP AR, to achieve this objective. This will ensure that when assessments are completed, invoices are raised in a timely manner where relevant.</p>	
11	<p>A reminder should be sent to Social Workers of the importance to enter the correct cost code all Payment Request Forms. Cashiers should also be reminded of the importance to input the correct SAP cost code on the system (as noted on the Payment Request Form) when processing payment. It is further recommended</p>	2	N/A	<p>Not Implemented New methods of achieving this are currently being discussed with Bernard Lanigan (Manager for Community and Social Care). A proposal is to produce a 'look up table' whereby a weekly schedule is approved. Coding will be maintained by the Finance Division: this should overcome the issue of inaccurate SAP coding by staff. However, this is an ongoing process that still needs to be discussed further.</p>	

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status	Comments/Update
	reconciliations should be completed every two months between payments charged to community service users and the Payment Request Forms in order to identify and correct any miscoding errors.			<i>Deadline: March 2009</i>	
12	A financial threshold should be set, over which appropriate actions should be taken to lodge excess funds at the Court of Protection on behalf of clients.	2	N/A	<p>Partly Implemented</p> <p>We were informed that the team have set a rate with regard to annual expenditure for retention. The remainder of a client's income will be moved to Court of Protection; this will be done on a case by case basis.</p> <p>The process for getting money out of Court requires application, which may take about 4 weeks to release.</p>	
13	It is recommended that all policies and procedures should be reviewed regularly, and at least annually, and updated, if necessary. It is further recommended that all documents should be dated and communicated to all relevant staff.	3	N/A	<p>Partly Implemented</p> <p>Management Update 15/01/09:</p> <p>A renewed Section 48 policy is being re-drafted in line with the standardized Adults, Culture & Community Services template. This template will include a review date.</p> <p>Revised Deadline: March 2009</p>	

DELOITTE INTERNAL AUDIT - QUARTERLY AUDIT REPORT 2008/09

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Detailed Progress Report - Implementation of Priority 1 Recommendations 2004/05 and 2005/06

Audit Area	Number of Priority 1 Recommendations	Original Implementation Deadline	Progress/Status	Comments/Update
Payroll & Expenses	1	31.03.06	<p>2004/05</p> <p>An online process is being developed for Payroll to manage expense claims payments. Deadline: 2008/09</p>	<p>In Progress</p> <p>Representatives of Personnel have already met with Finance staff to begin a review of the expenses being claimed and paid through petty cash. It has highlighted that there are distinct types of expense; a) genuine employee expenses for Travel and Subsistence, b) other business expense (where an employee has purchased something on behalf of the Authority and is re-claiming the cost), c) Agency Workers claiming expenses.</p> <p>The HR Support Team is in the process of preparing new claim forms, one for each of the types mentioned above. At the same time Personnel will be preparing guidance to issue to Managers and employees on the situations and levels of expenses that can be claimed. This will also confirm the need for all claims to be covered by receipts. Following a review of the resources required there will also be a move towards payment of the Travel and Subsistence type of claim through the payroll and a drive to get Managers to use the Procurement process and P Cards to reduce the need for employees to incur individual expenses.</p> <p>Update 16.1.09: HR confirm that actions are in place to implement the proposal for expenses claims to be processed through payroll from April 2009.</p> <p>Internal Audit Comment: There are controls in place within the current system being used, which mitigates the criticality of this recommendation. The aim of the recommendation is to strengthen the process by which expense claims are paid.</p> <p><i>Revised Deadline: April 2009</i></p>

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Audit Area	Number of Priority 1 Recommendations	Original Implementation Deadline	Progress/Status	Comments/Update
Sustainability	4	2006	2005/06	Implemented
			1. Corporate Procurement Strategy and Procurement Policy	Partly Implemented The Sustainable Procurement Procedures are still being developed. Revised Deadline: Feb/March 2009
			2. Sustainable Procurement Procedures <i>Deadline: End December 2008</i>	In Progress This process will form part of the Sustainable Procurement Procedures being developed and will be implemented once those procedures are finalised. Revised Deadline: Feb/March 2009
			3. Sample check of environmental checklists completed by Project Managers <i>Deadline: End December 2008</i>	Implemented A Sustainability Development Manager has recently been appointed. The threshold has been set at £250,000 above which the Sustainability Manager will be involved from initiation.
Telecommunication	1	Dec'06 and Q4 2007/08	Telecommunications Strategy <i>Deadline: 2008/09</i>	Implemented A Telecoms Strategy has been developed and approved based on migration to IPT. This strategy has been reported to and agreed by Procurement Committee and CEMB and IT are now in the early stages of project implementation.
iPlan Application and e-Planning	1	Dec'06 and Jun '08	Improved Logical Access Controls within the e-Planning application. <i>Deadline: September 2008</i>	Implemented i-Plan was upgraded as part of the recent i-LAP upgrade. Confirmation has been received from the supplier that the new version addresses the recommendation. Systems testing by IT has confirmed compliance.
TOREX Leisure Management System	1	Ongoing/ May 2008	Request to software suppliers to correct the system in order to fully prevent access following repetitive invalid logon attempts <i>Deadline: December 2008</i>	In Progress Several requests have been made by IT to the software supplier (XN Leisure) pressing for the recommended control to be built into their next release. XN Leisure confirms they intend to build this security control into their software during 2009, however they could not provide firm dates for compliance. An upgrade to their proposed new version containing this control

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Audit Area	Number of Priority 1 Recommendations	Original Implementation Deadline	Progress Status	Comments/Update
				is planned before the end of June 2009, which will also address PCI DSS requirements. Revised Deadline: June 2009

Statement of Responsibility

We take responsibility for this report which is prepared on the basis of the limitations set out below.

The matters raised in this report are only those which came to our attention during the course of our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Recommendations for improvements should be assessed by you for their full impact before they are implemented. The performance of internal audit work is not and should not be taken as a substitute for management's responsibilities for the application of sound management practices. We emphasise that the responsibility for a sound system of internal controls and the prevention and detection of fraud and other irregularities rests with management and work performed by internal audit should not be relied upon to identify all strengths and weaknesses in internal controls, nor relied upon to identify all circumstances of fraud or irregularity. Auditors, in conducting their work, are required to have regard to the possibility of fraud or irregularities. Even sound systems of internal control can only provide reasonable and not absolute assurance and may not be proof against collusive fraud. Internal audit procedures are designed to focus on areas as identified by management as being of greatest risk and significance and as such we rely on management to provide us full access to their accounting records and transactions for the purposes of our audit work and to ensure the authenticity of these documents. Effective and timely implementation of our recommendations by management is important for the maintenance of a reliable internal control system. The assurance level awarded in our internal audit report is not comparable with the International Standard on Assurance Engagements (ISAE 3000) issued by the International Audit and Assurance Standards Board.

Deloitte & Touche Public Sector Internal Audit Ltd

January 2009

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**IN HOUSE AUDIT – IRREGULARITIES INVESTIGATED 01/04/08 - 31/12/2008
& B/F FROM 2007/08
EVIDENCE**

APPENDIX B

Directorate	Irregularity Type	No. of cases investigated	No. of cases proven at 31/12/08	No. of Officers subject to Disciplinary Investigation	Disciplinary Outcome	Value (£) (if known)
Adult, Culture and Community Services	Allegation of housing fraud	1	1	1	Employee Dismissed Appeal Pending	
	Alleged private working whilst off sick	1	1	1	Employee Reinstated Employee Dismissed	
	Alleged misuse of Blue Badge	2	2	2	1x Employee Dismissed 1 x Employee Resigned	
Chief Executive	Allegation of irregular timekeeping	2	2	2	1 x Appeal Pending 1 x Employee Resigned 1 x Employee Dismissed	
Children & Young Persons Service	Alleged HB Fraud and misuse of resources	1	1	1	Employee Resigned	
	Alleged failure to disclose motoring convictions/Irregular expense claims	1	1	1	Employee Dismissed	

**IN HOUSE AUDIT – IRREGULARITIES INVESTIGATED 01/04/08 - 31/12/2008
& B/F FROM 2007/08
EVIDENCE**

APPENDIX B

Directorate	Irregularity Type	No. of cases investigated	No. of cases proven at 31/12/08	No. of Officers subject to Disciplinary Investigation	Disciplinary Outcome	Value (£) (if known)
Corporate Resources	Allegation of irregular overtime claims	1	1	1	Employee Resigned	
	Alleged irregular undervaluation of property	1	0	0		
Urban Environment	Alleged irregular housing application	1	1	1	Employee Dismissed Dismissal Upheld at Appeal ET Lodged ET found in favour of Council	
	Alleged Irregular CT & HB claim	1	1	1	Employee Resigned	

**IN HOUSE AUDIT – IRREGULARITIES INVESTIGATED 01/04/08 - 31/12/2008
& B/F FROM 2007/08
EVIDENCE**

APPENDIX B

Directorate	Irregularity Type	No. of cases investigated	No. of cases proven at 31/12/08	No. of Officers subject to Disciplinary Investigation	Disciplinary Outcome	Value (£) (if known)
	Alleged Irregular Timekeeping	1	0	0		
	Alleged irregular procurement of PSL properties	1	0	0		
	Alleged employee attending university whilst off sick	1	0	0		
	Alleged failure to disclose connections with local contractors	1	1	1	Pending	
Non-specific	LBH cheques claims of non-receipt	1	N/A	N/A	N/A	£1,040
Total		17	12	12		£1,040

Haringey Council – Audit Committee

Disciplinary Case Analysis October 2008 to December 2008

Introduction

The information in this report is taken from SAP, covering the period 01 October 2008 – 31 December 2008.

The data is based on Haringey Council employees who

- hold Permanent, Temporary or Fixed Term Contracts
- are considered as Supernumerary (employees that have been on a Temporary Contract for more than 52 weeks)

Note that this data excludes:

- Casual or Sessional Workers
- Schools
- Agency Workers

Legend	
Adults, Culture & Community Services	AS
The Children & Young People's Service	C
Corporate Resources	CR
People & Organisational Development	PO
Policy, Performance, Partnership & Comms	PP
Urban Environment	UE
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 July 2005)

Disciplinary Cases

This section looks at the number of formal actions taken against employees under the disciplinary procedure based on data retrieved from SAP.

Disciplinary Cases by Directorate

Directorate	Cases Closed	Cases Open	No of cases	No of employees
AS	8	9	17	16
C	6	8	14	14
CR	3	3	6	6
PO	1	1	2	2
PP	3	0	3	3
UE	9	4	13	11
HGY	30	25	55	52

Please, note that the total number of cases is 55, but this only represents 52 employees. The reason being, that one employee can have more than one case running concurrently. For example, an employee's dismissal could count as one case and their appeal as another.

- **Urban Environment** has the highest percentage of disciplinary cases against its workforce at 1.93%
- 25 cases remain 'open' at the end of this period.

The following table looks at the stages of Disciplinary cases.

Stages of Disciplinary Cases

Stage	Cases Closed	Cases Open	Total	%
Invest. - not suspended	11	9	20	36
Invest. - suspended	18	10	28	51
ET	0	0	0	0
Appeal	1	6	7	13
Total	30	25	55	100

The following table identifies the outcomes of the 30 cases that were concluded.

Disciplinary Case Outcomes						
Outcome	Invest. - not suspended	Invest. - suspended	Invest. - appeal	Invest. - ET	Total	%
Appeal dismissed	0	0	0	0	0	0
Appeal upheld	0	0	0	0	0	0
Dismissal	0	7	0	0	7	23
No action	5	4	0	0	9	30
Other	1	0	0	0	1	3
Part upheld	0	0	0	0	0	0
Verbal warning	1	0	0	0	1	3
Written warning	3	1	0	0	4	13
Final writ warning	0	1	0	0	1	3
Resigned	1	4	1	0	6	20
Suspension lifted	0	0	0	0	0	0
Relegation/Demotion	0	0	0	0	0	0
Compromise Agreement	0	1	0	0	1	3
Total	11	18	1	0	30	100

- 30% of cases resulted in **No Action**
- 23% of cases resulted in **Dismissal**

This table displays reasons for Disciplinary action against employees.

Reasons for Disciplinary Cases				
Reason	Cases Open	Cases Closed	Total	%
Assault	2	0	2	4
Attendance	4	2	6	11
Behaviour	6	7	13	24
Fraud / Theft	3	7	10	18
Misuse of resources	4	2	6	11
Negligence	0	0	0	0
Other	6	12	18	33
Total	25	30	55	100

- The highest cause for disciplinary action was for **Other** reasons not categorised at **33%**

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

Ethnic Class	Female		Male		All	
	Total	%	Total	%	Total	%
B & M E	18	47	20	53	38	73
White	7	54	6	46	13	25
Not Declared	1	100	0	0	1	2
Total	26	50	26	50	52	100

- 33% of the workforce is male, but the male representation of the disciplinary cases is significantly higher at 50%

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

Dir	Ethnic Group	MANUAL		SC1-SC5		SC6-SO2		PO1-PO3		PO4-PO7		PO8+		TOTAL	
		T	WF	T	WF	T	WF	T	WF	T	WF	T	WF	T	WF
AS	B & ME	0	0.0	7	43.8	3	18.8	0	0.0	1	6.3	0	0.0	11	68.8
	White	0	0.0	3	18.8	1	6.3	0	0.0	1	6.3	0	0.0	5	31.3
	Total	0	0.0	10	62.5	4	25.0	0	0.0	2	12.5	0	0.0	16	100
C	B & ME	0	0.0	3	23.1	3	23.1	0	0.0	1	7.7	1	7.7	8	61.5
	White	0	0.0	0	0.0	1	7.7	0	0.0	0	0.0	4	30.8	5	38.5
	Total	0	0.0	3	23.1	4	30.8	0	0.0	1	7.7	5	38.5	13	100
CR	B & ME	0	0.0	0	0.0	4	66.7	1	16.7	0	0.0	0	0.0	5	83.3
	White	0	0.0	0	0.0	1	16.7	0	0.0	0	0.0	0	0.0	1	16.7
	Total	0	0.0	0	0.0	5	83.3	1	16.7	0	0.0	0	0.0	6	100
PO	B & ME	0	0.0	0	0.0	1	50.0	1	50.0	0	0.0	0	0.0	2	100
	White	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	Total	0	0.0	0	0.0	1	50.0	1	50.0	0	0.0	0	0.0	2	100
PP	B & ME	1	33.3	1	33.3	0	0.0	0	0.0	0	0.0	0	0.0	2	67
	White	0	0.0	0	0.0	1	33.3	0	0.0	0	0.0	0	0.0	1	33.3
	Total	1	33.3	1	33.3	1	33.3	0	0.0	0	0.0	0	0.0	3	100
UE	B & ME	0	0.0	5	45.5	2	18.2	2	18.2	1	9.1	0	0.0	10	90.9
	White	0	0.0	1	9.1	0	0.0	0	0.0	0	0.0	0	0.0	1	9.1
	Total	0	0.0	6	27.3	2	18.2	2	18.2	1	9.1	0	0.0	11	100
HGY	B & ME	1	2.0	16	31.4	13	25.5	4	7.8	3	5.9	1	2.0	38	74.5
	White	0	0.0	4	7.8	4	7.8	0	0.0	1	2.0	4	7.8	13	25.5
	Total	1	2.0	20	39.2	17	33.3	4	7.8	4	7.8	5	9.8	51	100

NB: 1 employee from Children and Young Peoples Service is excluded from the above table due to not having an ethnicity declared, however, falls into salary band SC6-SO2

Suspensions

This table shows a summary of suspension cases.

Summary of Suspension Cases	
Case status	Total
No. of cases heard	14
No. of cases not concluded	10
No. of cases not concluded - leaver	4
Total	28

Timescales (no of days) of Suspension Cases

The table below looks at the 28 suspension cases and identifies the no. of working days each case has taken. If the case has not concluded by the end of the period, the number of working days is calculated from the start date of the current disciplinary stage to the end of the quarter.

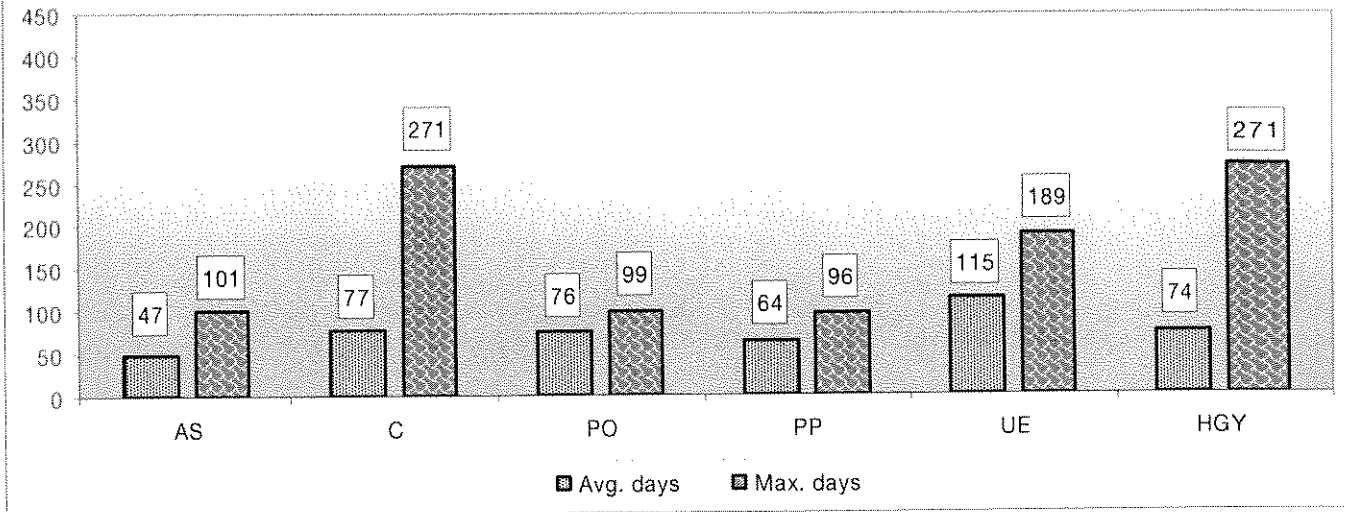
The table also identifies, by directorate, the average number of days suspension for all cases, the maximum days for a single case and average days suspension for cases heard within that period.

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	Avg days of cases heard
AS	6	4	0	0	0	10	474	47	101	3	42
C	4	0	1	0	1	6	462	77	271	3	50
CR	0	0	0	0	0	0	0	0	0	0	0
PO	1	1	0	0	0	2	151	76	99	1	99
PP	2	1	0	0	0	3	191	64	96	2	66
UE	1	3	2	1	0	7	802	115	189	5	103
HGY	14	9	3	1	1	28	2080	74	271	14	73
Total cases heard	6	5	3	0	0	14					

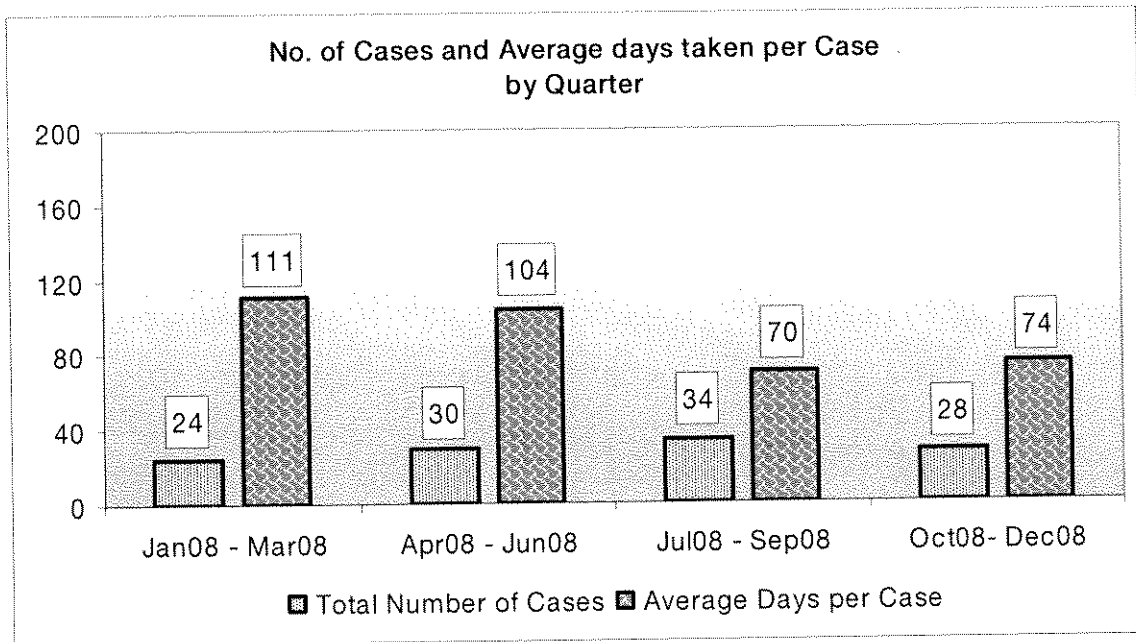
On average, 74 days were spent on each suspension case within the quarter. Of the 14 cases heard, an average of 73 days was spent on each case and 43% of these were concluded within 60 days of suspension.

Average and Maximum Days Taken for Suspension Cases by Directorate



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

No. of Cases and Average days taken per Case by Quarter



The average number of days taken per suspension case has significantly reduced over the last year, showing the benefit of the extra scrutiny and focus on management action that is continuously ongoing.

However, the average days for this quarter has slightly increased and this is due to a decrease in the number of suspension cases.