

IN HOUSE AUDIT – IRREGULARITIES INVESTIGATED 01/04/12 - 31/03/13 & B/F FROM 2011/12

Directorate	Irregularity Type	No. of cases investigated	No. of cases proven at 31/03/2013	No. of Officers subject to Disciplinary Investigation	Disciplinary Outcome	Value (£) (if known)
Children's Services	Allegation of housing benefit fraud B/F 2011/12	1	1	1	Resigned	
	Failed to declare income increase for benefit purposes B/F 2011/12	1	1	1	Resigned	
	Code of Conduct B/F 2011/12	1	0	0	Final Written Warning	
	Allegation of bringing the Council into disrepute	1	1	1	Dismissed	
	Allegation of failure to declare true circumstances for Council Tax purposes	1	1	1	Final Written Warning	£747

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Corporate Resources	Allegation that employee is working whilst off sick B/F 2011/12	1	1	1	Resigned	
	Allegation of gross misconduct	1	1	1	Resigned	
Adults and Housing	Allegation of failure to declare income changes for benefit purposes	1	1	1	Dismissed Appeal Upheld Decision to Dismiss	£41,758
	Allegation of undeclared second employment B/F 2011/12	1	0	0		
	Allegation that employee is running a business from their desk	1	1	1	Dismissed Appeal Upheld Decision to Dismiss	

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Directorate	Irregularity Type	No. of cases investigated	No. of cases proven at 31/03/2013	No. of Officers subject to Disciplinary Investigation	Disciplinary Outcome	Value (£) (if known)
	Allegation that employee abused position of trust	1	1	1	Employee Dismissed	
	Allegation of contribution to irregular benefit claim	1	1	1	Disciplinary Action Pending	
	Allegation of Irregular time Keeping	1	1	1	Disciplinary Action Pending	
Place and Sustainability	Allegation that employee has failed to declare a private interest B/F 2011/12	1	1	1	Warning	
	Allegation that employee used false driving licence B/F2011/12	1	1	1	Employment Contract Ended	
	Allegation of submission of	1	1	1	Standard Setting Hearing	

APPENDIX B

IN HOUSE AUDIT – IRREGULARITIES INVESTIGATED 01/04/12 - 31/03/13 & B/F FROM 2011/12

Directorate	Irregularity Type	No. of cases investigated	No. of cases proven at 31/03/2013	No. of Officers subject to Disciplinary Investigation	Disciplinary Outcome	Value (£) (if known)
	altered medical certificate					
	Allegation of time sheet fraud	1	1	1	Final Written Warning	
	Allegation of theft/ falsification of records	1	1	1	Resigned	
TOTAL		18	16	16		42,505

Haringey Council – Corporate Committee

Disciplinary Case Analysis January 2013 to March 2013

Introduction

The information in this report is taken from SAP, covering the period **January 2013 – March 2013**.

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	
Adults & Housing	AS
The Children & Young People's Service	C
Chief Executive	CE
Corporate Resources	CR
Public Health	PH
Place & Sustainability	PS
Strategy & Performance	SP
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.

Disciplinary Cases by Directorate				
Directorate	Cases Open	Cases Closed	No of cases	No of employees
AS	7	2	9	8
C	6	4	10	10
CE	1	0	1	1
CR	0	0	0	0
PH	0	0	0	0
PS	4	9	13	12
SP	1	0	1	1
Total	19	15	34	32

Please note that the total number of cases is 34, but this only represents 32 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.

- **Place & Sustainability** has the highest percentage of disciplinary cases against its workforce at 1.4% in this quarter
- **19 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 Open	Cases Closed	Total	%
Invest. - not suspended	6	6	12	35
Invest. - suspended	8	7	15	44
ET	2	1	3	9
Appeal	3	1	4	12
Total	19	15	34	100

The following table identifies the outcomes of the 15 cases that were closed in this period.

Disciplinary Case Outcomes						
Outcome	Invest. - not suspended	Invest. - suspended	Invest. - appeal	Invest. - ET	Total	%
Compromise agreement	1	0	0	0	1	7
Dis. Appeal Dismissed	0	0	1	1	2	13
Dis. Appeal Part Upheld	0	0	0	0	0	0
Dis. Appeal Upheld	0	0	0	0	0	0
Dis. Appeal Withdrawn	0	0	0	0	0	0
Dis. Dismissal	0	2	0	0	2	13
Dis. ET Dismissed	0	0	0	0	0	0
Dis. ET Withdrawn	0	0	0	0	0	0
Dis. Final Written Warning	0	5	0	0	5	33
Dis. No Action	2	0	0	0	2	13
Dis. Other	0	0	0	0	0	0
Dis. Relegation/Demotion	0	0	0	0	0	0
Dis. Resigned	0	0	0	0	0	0
Dis. Verbal Warning	0	0	0	0	0	0
Dis. Warning & Sanction	0	0	0	0	0	0
Dis. Written Warning	3	0	0	0	3	20
Escalated to next stage	0	0	0	0	0	0
Suspension Lifted	0	0	0	0	0	0
Total	6	7	1	1	15	100

This table displays reasons for Disciplinary action against employees.

Reasons for Disciplinary Cases				
Reason	Cases Open	Cases Closed	Total	%
Assault	1	0	1	3
Attendance	1	1	2	6
Behaviour	6	4	10	29
Fraud / Theft	4	0	4	12
Misuse of resources	1	1	2	6
Negligence	3	3	6	18
Other	3	6	9	26
Total	19	15	34	100

- The highest cause for disciplinary action was for **Behaviour** at 29% and **Other Reasons** at 26%

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	16	64	9	36	25	78
White	1	20	4	80	5	16
Not Declared	1	50	1	50	2	6
Total	18	56	14	44	32	100

- 32% of the workforce is male, but the male representation with disciplinary cases is higher at 44%

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

Disciplinary Case employee representation by Ethnicity and Grade Band (T = Total no. in grade band, WF = % of total disciplined employees in Directorate)													
Dir	Ethnic Group	SC1-SC5		SC6-SO2		PO1-PO3		PO4-PO7		PO8+		TOTAL	
		T	WF	T	WF	T	WF	T	WF	T	WF	T	WF
AS	B & ME	4	50	3	38	0	0	0	0	0	0	7	88
	White	1	13	0	0	0	0	0	0	0	0	1	13
	Total	5	63	3	38	0	0	0	0	0	0	8	100
C	B & ME	2	22	0	0	0	0	6	67	0	0	8	89
	White	0	0	0	0	0	0	1	11	0	0	1	11
	Total	2	22	0	0	0	0	7	78	0	0	9	100
CE	B & ME	0	0	1	100	0	0	0	0	0	0	1	100
	White	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	0	1	100	0	0	0	0	0	0	1	100
CR	B & ME	0	0	0	0	0	0	0	0	0	0	0	0
	White	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	0	0	0	0	0	0	0	0	0	0	0
PH	B & ME	0	0	0	0	0	0	0	0	0	0	0	0
	White	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	0	0	0	0	0	0	0	0	0	0	0
PS	B & ME	5	45	4	36	0	0	0	0	0	0	9	82
	White	1	9	0	0	1	9	0	0	0	0	2	18
	Total	6	55	4	36	1	9	0	0	0	0	11	100
SP	B & ME	0	0	0	0	0	0	0	0	0	0	0	0
	White	0	0	0	0	0	0	1	100	0	0	1	100
	Total	0	0	0	0	0	0	1	100	0	0	1	100
HGY	B & ME	11	37	8	27	0	0	6	20	0	0	25	83
	White	2	7	0	0	1	3	2	7	0	0	5	17
	Total	13	43	8	27	1	3	8	27	0	0	30	100

* 2 employees in grade band SC1-SC5 and PO4-PO7 did not declare their ethnicity

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	8
No. of cases not concluded - leaver	0
Total	15

Timescales (no of days) of Suspension Cases

The table below looks at the 15 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.

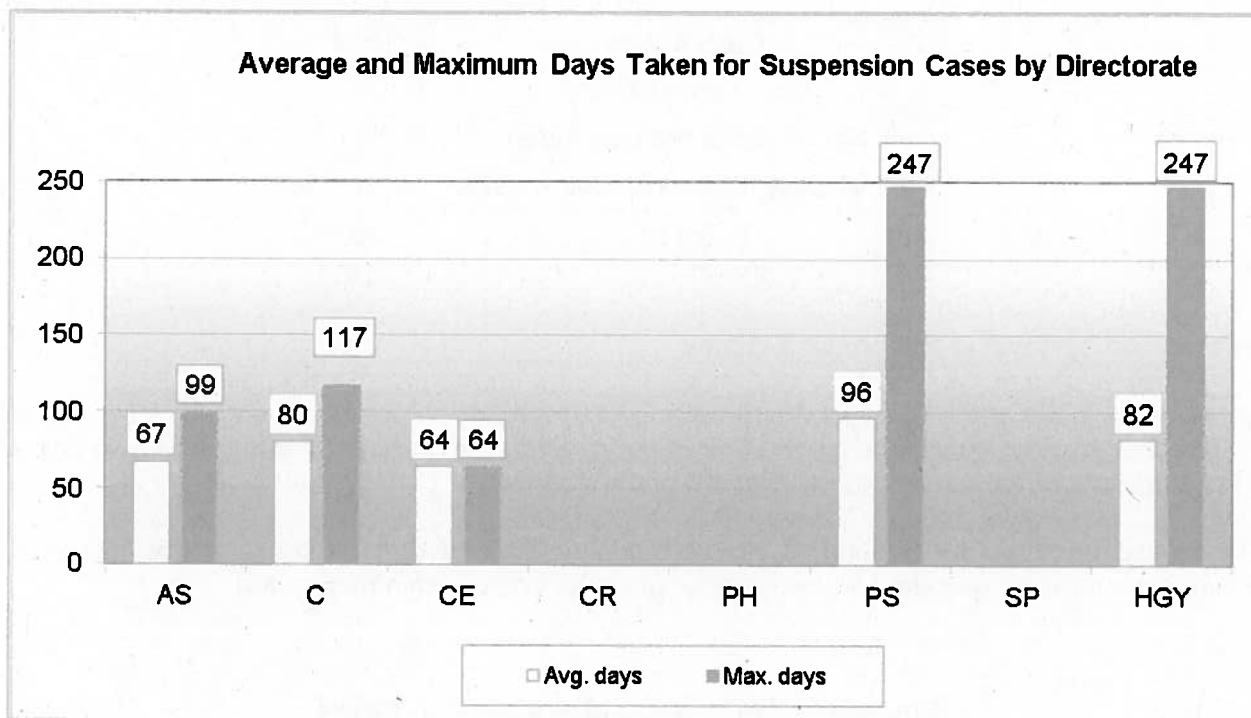
The table also identifies by directorate, the average number of days suspension for all cases, the maximum days for a single case and the number of cases heard within that period.

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
AS	1	3	0	0	0	4	268	67	99	1
C	2	2	0	0	0	4	321	80	117	2
CE	0	1	0	0	0	1	64	64	64	0
CR	0	0	0	0	0	0	0	0	0	0
PH	0	0	0	0	0	0	0	0	0	0
PS	2	3	0	0	1	6	576	96	247	2
SP	0	0	0	0	0	0	0	0	0	0
HGY	5	9	0	0	1	15	1229	82	247	7
Total cases closed	2	4	0	0	1	7				

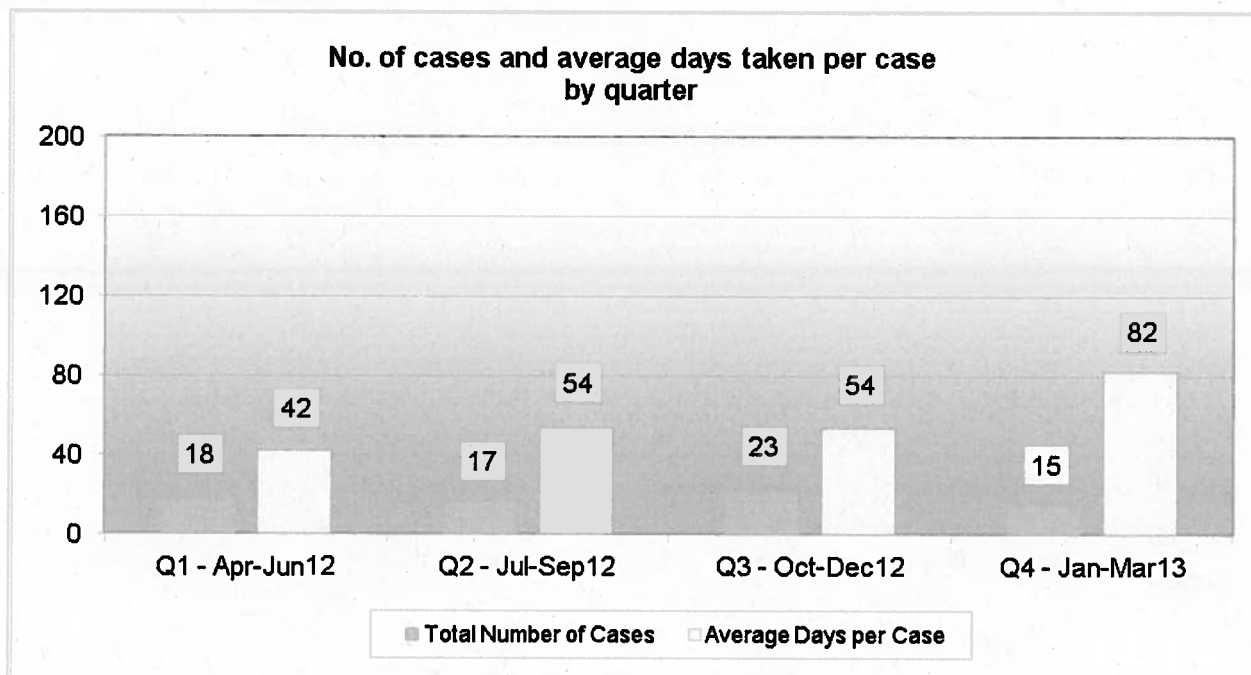
On average, 82 days were spent on each suspension case within the quarter.

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 82 with a total of 15 cases. 8 of these cases remain open at the end of quarter 4.

Consultants employed by the Council as at: 31 March 2013

Dir	Business unit	Status	name of consultancy / agency (or if applicable mark 'Self Employed')	Start date	Likely End date of contract	Daily rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
CYPS	CYPS	Consultant	Self Employed	18/10/2012	31/03/2013	£400	4	Revenue	Develop support systems in CYPS
CYPS	PEI	Consultant	Mindstretchers Recruitment Agency	31/05/2012	30/09/2013	£550 + £22.50 travel	3	Revenue	To deliver statutory work on 2 year expansion project to develop and increase provision for 2 year olds
CYPS	School Standards & Inclusion	Interim	Self Employed	01/09/2011	31/07/2013	£500	5	Revenue	School Improvement Advisor
CYPS		Consultant	Ameo Recruitment Agency	21/02/2013	31/08/2013	£630	2 to 4	Revenue	Assist with preparing Youth, YOS and Alternative Provision to move to a commissioning approach.
CYPS	Children & Families	Consultant	Self Employed	01/06/2011	31/03/2013	£245	1 to 2	Revenue	Independent assessor supporting Adoption team in the assessment of relatives and fosters carers as Special Guardians and prospective adopters

Consultants employed by the Council as at: 31 March 2013

Dir	Business unit	Status	name of consultancy / agency (or if applicable mark 'Self Employed')	Start date	Likely End date of contract	Daily rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
CYPS	Children & Families	Consultant	Self Employed	01/06/2011	31/03/2013	£245	1 to 2	Revenue	Independent assessor supporting Adoption team in the assessment of relatives and fosters carers as Special Guardians and prospective adopters
CR	BLT	Consultant	Self Employed	01/12/2011	30/11/2013	£432	as and when	Revenue	Works on an occasional basis only. Monitors HB Subsidy claim and advises on areas where we can further increase our income through subsidy.
CR	BLT	Consultant	Indigo Edge Management Consultancy Agency	01/09/2012	31/03/2013	£500	2	Revenue	Project Manage the Welfare Reform Act implementation
CR	BLT	Consultant	Indigo Edge Management Consultancy Agency	01/09/2012	31/03/2013	£500	2	Revenue	Project Manage the Welfare Reform Act implementation
CR	Corporate Finance	Interim	CIPFA	01/03/2012	31/03/2013	£595	4	Revenue	Interim Head of Corporate Finance

Consultants employed by the Council as at: 31 March 2013

Dir	Business unit	Status	name of consultancy / agency (or if applicable mark 'Self Employed')	Start date	Likely End date of contract	Daily rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
CR	Corporate Finance	Interim	Allen Lane Interim Recruitment Agency	12/12/2012	04/10/2013	£300	5	Revenue	Senior Capital Accountant
CR	Corporate Legal Service	Interim	Whiteowl Legal Services Agency	18/01/2012	31/03/2013	£430	5	Revenue	Providing Senior Management support in Legal
P&S		Consultant	RESPECT Recruitment Agency	06/08/2012	31/12/2013	£400	10 days over 6 months	Revenue	Chair of Domestic Homicide Review
P&S	Director	Interim	Odgers Interim Recruitment Agency	07/01/2013	05/07/2013	£750	5	Revenue	Interim AD Major Projects
P&S	Corporate Property Services	Consultant	Self Employed	01/11/2008	31/03/2013	£450	2	Capital	Advice and Support related to Spurs project
P&S	Corporate Property Services	Consultant	Self Employed	01/10/2011	30/06/2013	£400	3	Revenue	To assist in the delivery of the property disposal programme.

Consultants employed by the Council as at: 31 March 2013

Dir	Business unit	Status	name of consultancy / agency (or if applicable mark 'Self Employed')	Start date	Likely End date of contract	Daily rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
P&S	Frontline Services	Consultant	Odgers Interim Recruitment Agency	05/01/2009	31/07/2013	£530	4	Revenue	Project Management of the SFL commissioning projects, specifically around the Highways and Street Lighting Contracts.
P&S	Frontline Services	Consultant	Penna Recruitment Agency	05/05/2007	31/03/2014	£400	3	Revenue	Support specialist software (Confirm), building asset database, IT solution for NAT and training team
P&S	Frontline Services	Consultant	Aurecon Group - Career Agency	01/04/2012	31/03/2013	£207	5	Revenue	Provide flood water management experience.
P&S	Frontline Services	Consultant	Gatenby Sanderson Recruitment Agency	13/08/2012	30/09/2013	£600	5	Revenue	Interim head of Community Safety pending permanent recruitment.
P&S	Planning, Regeneration & Economy	Consultant	Penna Recruitment Agency	15/01/2009	31/03/2013	£675	2 to 3	Revenue	Project management of major sites