

Haringey Council

Report for:	Corporate Committee 19 September 2013	Item number	
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Title:	Internal Audit Progress Report – 2013/14 Quarter 1
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Report authorised by :	Director of Corporate Resources <i>J. Power</i> 10/9/13 Assistant Chief Executive <i>Stuart King</i> 10/9/13
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Lead Officer:	Anne Woods, Head of Audit and Risk Management Tel: 020 8489 5973 Email: anne.woods@haringey.gov.uk
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Ward(s) affected: ALL	Report for: Non-Key Decision
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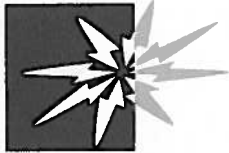
1. Describe the issue under consideration

- 1.1 The Corporate 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 Corporate Committee on 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. Where further action is required or recommended, this is highlighted in the report and appendices and included in the recommendations for the Corporate Committee.

- 1.2 The report also provides information from the Council's Human Resources (HR) business unit in respect of (a) work undertaken in supporting disciplinary action taken across all departments by respective Council managers; and (b) consultants employed by the Council.

2. Cabinet Member Introduction

- 2.1 Not applicable



3. Recommendations

- 3.1 The Corporate Committee is recommended to note the audit coverage and counter-fraud work completed during the first quarter, 2013/14.
- 3.2 That the Corporate Committee confirms that managers' actions taken during the quarter to address the outstanding recommendations are appropriate.
- 3.3 The Corporate Committee note the information received from the HR business unit.

4. Other options considered

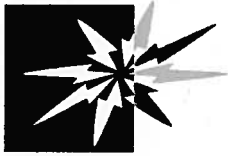
- 4.1 Not applicable.

5. Background information

- 5.1 The internal audit service and counter-fraud teams make a significant contribution to ensuring the adequacy and effectiveness of internal control throughout the Council. This report looks at the work undertaken in the quarter ending 30 June 2013 and focuses on:
- Progress by Deloitte and Touche 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 particular attention given to priority 1 recommendations;
 - Details of pro-active and reactive investigative work undertaken relating to fraud and/or irregularities, including those within the remit of the Corporate Anti-Fraud and Housing Benefit Fraud Investigation Teams;
 - Information in respect of disciplinary action taken by managers across all departments of the Council during the quarter; and
 - Details of consultants employed by all departments across the Council to the end of June 2013.
- 5.2 The information in this report has been compiled from information held within the Audit & Risk Management business unit and from records held by Deloitte and Touche and the Council's corporate HR business unit.

6. Comments of the Chief Financial Officer and Financial Implications

- 6.1 There are no direct financial implications arising from this report. The work completed by Deloitte and Touche is part of the framework contract which was awarded to the London Borough of Croydon from 1 April 2012, in accordance with EU regulations. The costs of this contract are contained and managed within the Audit and Risk Management revenue budget.



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6.2 The financial benefits to the Council of the work completed during 2013/14 as part of the ongoing tenancy fraud project will be realised as properties are recovered and returned to the Council's portfolio. The Audit Commission estimate that the costs of fraudulent tenancies and unauthorised sub-letting equate to £18k per annum per property. During the first quarter, six Council properties were recovered.

7. Legal Implications

7.1 The Head of Legal Services has been consulted in the preparation of this report, and advises that there are no direct legal implications which arise out of the report.

8. Equalities and Community Cohesion Comments

8.1 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. The report also contains details of how fraud investigation work is undertaken and pro-active fraud projects are managed. Improvements in managing risks and controls will therefore improve services the Council provides to all sections of the community.

9. Head of Procurement Comments

9.1 Not applicable.

10. Policy Implications

10.1 There are no direct implications for the Council's existing policies, priorities and strategies. However, improving controls and reducing the opportunity for fraud to take place in the first place, and taking appropriate pro-active action to detect and investigate identified fraud will assist the Council to use its available resources more effectively.

11. Use of Appendices

11.1 Appendix A – Deloitte and Touche Progress report
Appendix B – In-house Team – investigations into financial irregularities
Appendix C – Council-wide disciplinary information
Appendix D – Consultants employed by the Council as at 30 June 2013.

12. Performance Management Information

12.1 Although there are no national or Best Value Performance Indicators, key 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. Table 1 below shows the targets for each key area monitored and gives a breakdown between the quarterly and cumulative performance.

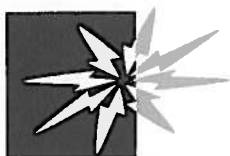
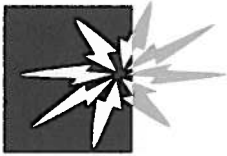


Table 1

PI Ref.	Performance Indicator	1 st Quarter	Year to date	Target
1	Audit work – Days Completed vs. Planned programme	92%	92%	95%
2	Priority 1 recommendations implemented at follow up	75%	75%	95%
3	Benefit fraud cases completed and accepted for prosecution	7	7	30
4	Benefit overpayments recovered (including POCA and confiscation awards)	£3.9k	£3.9k	£150k

13. Internal Audit work – Deloitte and Touche contract

- 13.1 The activity of Deloitte and Touche for the first quarter of 2013/14 to date is detailed at Appendix A. Deloitte and Touche planned to deliver 225 days of the 2013/14 annual audit plan (900 days) during the quarter. Deloitte and Touche actually delivered 206 days audit work during the quarter, which is slightly below the level of the planned work for 2013/14 but completion of the 2012/13 plan impacted on the delivery. There are no issues identified at this stage to prevent the annual target from being met. Ongoing monthly contract monitoring reviews ensure that performance levels are kept under review.
- 13.2 Members of the Corporate Committee receive detailed summaries of all projects for which a final report has been issued on a monthly basis to allow for any issues to be considered in a timely manner. Appendix A provides a list of all final reports which have been issued during the quarter, together with detailed summaries of the findings and recommendations of those reports which received a 'limited' assurance rating.
- 13.3 Appendix A also provides detailed summaries of all recommendations which were previously recorded as outstanding at the time of the follow up audit work. Members have been monitoring the progress and implementation of these to ensure that managers were taking appropriate action to address outstanding recommendations. Five recommendations from 2011/12 remain outstanding, with only one high priority recommendation remaining as 'partly implemented'. Work is ongoing to address the recommendations and Internal Audit are satisfied that managers' actions to date are appropriate to manage the lower priority risks facing the Council. Internal Audit will continue to monitor implementation of recommendations to ensure appropriate actions are taken to mitigate identified risks.
- 13.4 A summary of all follow up audit projects for 2012/13 work which have been undertaken is also included in Appendix A. We have followed up on 33 recommendations to date and found that 29 have been implemented and 4 are



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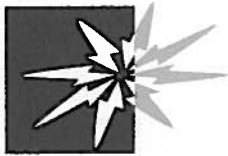
in progress, including two Priority 1 recommendations. Overall, a compliance rate of 88% has been achieved for the first quarter.

14. In-house Team: Fraud investigation/Pro-active work

- 14.1 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 Council's Information Security Policy. Appendix B details the individual cases that were completed by the In-house Team in the first quarter of 2013/14 and any which were brought forward from 2012/13, relating to Council employees. The listing at Appendix B also includes any referrals made using the Council's whistle blowing policy which were investigated by Internal Audit. During the first quarter, no staff-related whistle blowing referrals were made.
- 14.2 Within the first quarter, seven new cases relating to permanent and temporary employees were referred to Internal Audit by management. Five cases were completed during the quarter involving Council employees. Internal Audit work closely with officers from personnel and the service involved to ensure that the investigation is completed as quickly as possible.
- 14.3 The section has been continuing to work with Homes for Haringey and the Strategic and Community Housing Service to target and investigate housing and tenancy fraud. The Audit Commission estimate that each fraudulent tenancy costs councils an estimated £18k in temporary accommodation and other associated costs.
- 14.4 As at 30 June 2013, 34 new referrals of suspected tenancy fraud have been received by the team during 2013/14. Together with 57 cases brought forward from 2012/13, this gives a current total of 91 referrals (148 received in total during 2012/13) and Table 2 below summarises the source of these referrals:

Table 2

Referrals Received From:	Number
Tenancy Management Officer	19
Fraudcall (email and freephone telephone)	8
Registered Providers	0
Members of the Public	2
Joint investigation with Housing Benefit Fraud	0
National Fraud Initiative	1
Police	0
Other Local Authority	2
Member	0
Haringey Staff	2
Customer Services	0
Total	34



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14.5 During the first quarter of 2013/14, six Haringey properties have been recovered in total, plus one application for Succession, or Grant of Tenancy, refused on evidence of ineligibility, so the tenancies can be allocated to tenants in accordance with the Council's lettings policy.

14.6 The section also works closely with the Council's key Registered Providers to target and investigate housing and tenancy fraud in joint working with Registered Provider staff. As at 30 June 2013, 20 new referrals of suspected tenancy fraud have been received and together with 29 cases brought forward from 2012/13, this gives a current total of 49 referrals to date.

14.7 As a result of the joint working, two Registered Providers' properties have been recovered in the first quarter. Investigations have been closed in one case with no fraud identified and are ongoing in 46 cases.

15. Housing Benefit Fraud Investigation

15.1 During the first quarter, the HB Fraud team completed investigations on seven benefit fraud cases and submitted these for prosecution at crown court via Legal Services. Four cases submitted by the team to the DWP for joint prosecutions in 2011/12 are still to be heard. There are also three cases with outstanding Bench Warrants which the team chase up on a regular basis.

15.2 The team achieved four successful prosecutions during the quarter with a total overpayment value of £215.9k, although only £3.9k has been recovered to date. The team has an annual target of 30 prosecution cases for 2013/14, and this target is expected to be achieved.

16. Council-wide disciplinary statistics

16.1 Appendix C details the number of disciplinary suspensions and/or action taken in the fourth quarter of 2012/13. The data is taken from SAP and the information has been provided by the HR business unit in line with Council statistics reported elsewhere.

16.2 During the quarter, the number of disciplinary cases investigated was 43, with 19 remaining 'open' at the end of the quarter. The average length of time taken to resolve disciplinary cases in the quarter was 81 days, which is a marginal decrease on the previous quarter. Internal Audit has not completed any further verification on the information provided by HR for this appendix.

17. Consultants information

17.1 Appendix D details the consultants employed by the Council during the fourth quarter. The data is taken from SAP and the information has been provided by the HR business unit. Internal Audit has not completed any further verification on the information provided by HR for this appendix.

**Internal Audit
Quarter 1 Internal Audit Report
2013/14
London Borough of Haringey**

**Deloitte & Touche Public Sector Internal Audit Ltd.
August 2013**

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Executive Summary

Introduction

This is our first quarter report to the Corporate Committee for the 2013/14 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 our internal audits. 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 Corporate 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 Corporate Committee.

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

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

Key Highlights/Summary of Quarter 1 2013/14 – Final Reports issued:

2012/13 Internal Audits finalised in the quarter:

- IT Security Processes;
- IT Infrastructure Renewal Programme;
- Partial Hardware Asset Management;
- Accounting and General Ledger;
- Adults & Housing Services – Risk Register Testing;
- Alexandra Palace Regeneration Programme;

- Decent Homes Programme;
- Housing Benefits;
- Parking – Business and Essential Service Permits;
- Payroll;
- Planning Service – Statistical Reporting;
- School In Year Admissions; and
- Trading Standards Regulations.

Delivery of 2012/13 Internal Audit Plan

As part of the delivery of the 2012/13 Internal Audit Plan, we have also issued draft reports for the following audits:

- Accounts Payable (Creditors);
- Corporate Savings Programme;
- Continuous Assurance – Budget Virements;
- Continuous Assurance – Payroll;
- Mayoral Community Infrastructure Levy; and
- Transfer Processes – Academies.

Delivery of 2013/14 Internal Audit Plan

As part of the delivery of the 2013/14 Internal Audit Plan, we have also issued draft reports for the following audits:

- SAP Application.
- Authority ICON Application;
- Framework-I Application;
- Alternative Education Provision; and
- Schools Licensed Deficit Arrangements.

Follow Up of Prior Years' Recommendations

The results of our follow-up work are as follows:

2011/12

Five recommendations remain outstanding; work is ongoing to address these.

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2012/13

To date we have followed up 33 recommendations raised in 2012/13 and the results of our work are as follows:

- Implemented – 29 (87.9%);
- In Progress or partly implemented – 4 (12.1%);

As part of the 2013/14 Internal Audit Plan, we will continue to complete a follow-up of the 2012/13 recommendations throughout the financial year. The findings will be reported in our quarterly report to the Corporate Committee.

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Audit Progress and Detailed Summaries

The following table sets out the audits finalised in Quarter 1 of 2013/14 financial year 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 Corporate 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)		
					1	2	3
2012/13							
Partial Hardware Asset Management	March 2013	08/04/13	Substantial	N/A	0	0	2
IT Infrastructure Renewal Programme	February 2013	08/04/13	Full	N/A	0	0	0
Adults & Housing Risk Register Testing	January 2013	19/04/13	Full	N/A	0	0	0
Housing Benefits	November 2012	22/04/13	Substantial	↔	0	3	1
Trading Standards Regulations	February 2013	26/04/13	Substantial	N/A	1	2	0
Accounting and General Ledger	March 2013	30/05/13	Substantial	↔	1	2	1
Public Health Contracts	April 2013	04/06/13	N/A	N/A	0	3	0
Payroll	January 2013	10/06/13	Substantial	↗	0	4	0
IT Security Processes	November 2012	11/06/13	Substantial	N/A	0	4	0
School In Year Admissions	November 2012	13/06/13	Substantial	N/A	0	5	0
Alexandra Palace Regeneration Programme	April 2013	13/06/13	Limited	N/A	4	1	0
Parking Services: Business & Essential Service Permits	March 2013	13/06/13	Substantial	N/A	0	4	0
Decent Homes Programme	February 2013	18/06/13	Substantial	N/A	0	0	0
Planning Service: Statistical Reporting	March 2013	24/06/13	N/A	N/A	0	8	0

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As part of the 2012/13 Internal Audit Plan we have visited the following schools, completed a probity audit and during Quarter 1 issued a final report.

School	Date of Audit	Report Date	Assurance Level	Number of Recommendations (Priority)		
				1	2	3
2012/13						
Pembury Nursery School	January 2013	12/06/13	Substantial	0	2	2
St Mary's CE Primary School	February 2013	09/05/13	Limited	2	8	0
St Michael's CE Primary School, Highgate	September 2012	10/05/13	Limited	3	6	0
Woodlands Park Nursery School & Children Centre	January 2013	13/05/13	Substantial	0	2	1
2013/14						
Coldfall Primary School	April 2013	12/06/13	Substantial	0	9	0
Rokesly Junior School	May 2013	13/6/13	Substantial	1	5	2

As part of the 2013/14 Internal Audit Plan we have visited the following schools during Quarter 1 and completed a probity audit, for which a draft report has been issued.

- Blanche Neville Special School.

Audit area	Scope	Status/key findings	Assurance
<p>Alexandra Palace Regeneration Programme 2012/13</p>	<p>Audit work was undertaken to cover the following areas:</p> <ul style="list-style-type: none"> • Data entry; • Completion and recording of journals; • Management information and reports production; • Feeder system reconciliations; • Control account reconciliations; and • Structure of the ledger. 	<p>ALEXANDRA PALACE</p> <p>Weaknesses in the system of internal controls are such as to put the client's objectives at risk. The level of non-compliance puts the client's objectives at risk.</p> <p>The key findings are as follows:</p> <p>Control Environment</p> <ul style="list-style-type: none"> • The APPCT Board and APTL Board, chaired by Cllr Cooke, meets quarterly.*/** • The Statutory Advisory Committee (SAC) and the Consultative Committee (CC), both independently chaired, hold joint and separate quarterly meetings.* • The Finance, Resources & Audit Committee (FRAC), independently chaired, meets quarterly.*/** • The Alexandra Park & Palace Regeneration Working Group (RWG), chaired by the Council's Director of Place and Sustainability, meets monthly.* • The APPCT/APTL Chief Executive has regular 1-2-1 with the Council's Chief Executive. • Alexandra Park & Palace Regeneration Strategy Workshops are held approximately every six months** <p>* <i>These bodies are all formally constituted and meetings are minuted.</i></p> <p>** <i>Per the APPCT/APTL Chief Executive, these boards are currently being strengthened with external representation.</i></p> <ul style="list-style-type: none"> • A Gateway review was undertaken by Local Partnerships in July 2012, and a further review is proposed for October 2013. • Financial policies and procedures have not all been updated to reflect the requirements of the new accounting system (installed in September 2012) and current legislation current legislation (e.g. EU procurement thresholds etc.). <p>Delegation of Authority and Accountability / Decision Making</p> <ul style="list-style-type: none"> • The Programme Senior Responsible Owner (SRO), ultimately responsible for the APP Regeneration Programme, has not been formally designated and communicated to all relevant stakeholders. • The Terms of Reference and membership of the RWG were approved by the APPCT Board on 6 September 2010. • This Terms of Reference indicates the role of the RWG to be 'in a non- 	<p>Limited</p>

Audit area	Scope	Status/key findings	Assurance
		<p>decision making capacity.</p> <ul style="list-style-type: none"> • The responsibilities and membership of the RWG has not been reviewed and updated to reflect the current governance arrangements following the appointment of the Chief Executive to APPCT and APTL, the APP Director of Regeneration and Property, and the Chief Executive at the Council. • Highlight reports, risk logs and road maps are maintained and issued for discussion at the monthly RWG meetings. • A detailed risk register for the HLF bid (covering development, delivery and post completion) is held by the APP Regeneration Programme Manager and a similar risk register is to be produced and maintained for the property advice stream should the soft market testing prove successful. • The Programme Brief & Initiation Document (PID) was signed off by the RWG on 6 September 2011. • The PID has not been reviewed and updated to formalise roles and responsibilities, accountabilities and reporting lines following the significant structural and personnel changes that have occurred at both APPCT and the Council. <p>Stakeholder Consultation</p> <ul style="list-style-type: none"> • Alongside the public consultation exercise which received an 87% positive response, a broad range of community, education and cultural groups were contacted and/or met with to explain the regeneration plans during the second half of 2012. • A stakeholder list has been established to manage contacts and communication activities and this is reviewed and updated on a regular basis. • Thirty-three letters in support of the HLF Stage One application were received from groups including resident associations, Alexandra Palace Television Society, Architectural Heritage Fund, Hornsey Historical Society, youth media charity Exposure, and major cultural players such as English National Opera and Complicite. • Over 800 people attended the Open House day in September 2012, and engagement activities have continued since the HLF submission to raise awareness, provide updates on progress and explore potential funding and support opportunities through bodies like the Greater London Authority and UK Trade and Investment. <p>As a result of our audit work we have raised four Priority 1 recommendations</p>	

Audit area	Scope	Status/key findings	Assurance
		<p>and one Priority 2 recommendation, which should assist in improving the control environment.</p> <p>The Priority 1 recommendations are as follows:</p> <ul style="list-style-type: none"> • Senior management should ensure that the individual ultimately responsible for the programme is formally designated, agreed and communicated to all relevant stakeholders. Note that this individual should own and maintain the APP Regeneration Programme's business case and be able to devote sufficient time to provide clear and timely direction and decisions in ensuring that the agreed outcomes are delivered and benefits are realised. • Senior management should ensure that the responsibilities and membership reflected in the Terms of Reference of the RWG are reviewed and updated to reflect the current governance arrangements following the appointment of the Chief Executive to APPCT and APTL, the APP Director of Regeneration and Property (due to commence on 22 September 2013) and the new Chief Executive at the Council. The updated Terms of Reference and membership of the RWG should then be approved by the APPCT Board. • Management should ensure that the PID is reviewed and updated to reflect current regeneration programme objectives and scope, outcomes and benefits to be realised, team structure and relationships, membership etc. The updated PID (or possibly individual PIDs for each project under the APP Regeneration Programme), together with key differences from the Council's Project Management Framework should then be approved by the RWG and the APPCT Board, and communicated to all relevant stakeholders involved in the management of the APP Regeneration Programme. • In updating the Terms of Reference of the RWG in 3 above, senior management should determine, within the existing legal and regulatory framework, what delegated authority, if any, the RWG ought to have. <p>The Priority 2 recommendation is as follows:</p> <ul style="list-style-type: none"> • APP management should ensure that the financial policies and procedures are reviewed and updated to reflect the requirements of the new accounting system, current legislation (e.g. EU procurement thresholds etc.) and the Council's financial regulations as appropriate. The financial policies and procedures should be approved by the APPCT Board and the APTL Board on a regular basis. 	

Progress Update:

At the meeting of the Alexandra Palace and Park Board on 16 July 2013, the final audit report was presented and it was confirmed by the APP Chief Executive that:

A commitment has been given that all five recommendations will be addressed by the end of July 2013. A summary of progress to date (as at 16 July 2013) is given below.

In response to the internal Audit review:

- financial procedures have been updated, although there is still more work to do;
- further work is needed on detailed specification of key roles;
- Regeneration Working Group (RWG) membership will be increased;
- the Project Initiation Document is being rewritten; and
- New Terms of reference for the RWG were approved by the Board.

Internal Audit will undertake a formal follow up later in 2013/14 and report the outcome to the Corporate Committee at a later meeting.

Detailed Progress Report – Outstanding Recommendations 2011/12

Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status
CORPORATE RESOURCES – KEY FINANCIAL SYSTEMS				
Cash Receipting				
1	<p>Procedure manuals should be documented for the cash receipting function, including instructions for cashiers administering parking related matters, to assist staff in administering the cash receipting function effectively, efficiently and in a consistent manner.</p>	2	December 2012	<p>In Progress</p> <p>Original Management Response:</p> <p>This is an issue that we will be addressing with high priority in the objectives being set for the team for 2012/13.</p> <p>Due to the parking team currently awaiting an upgrade to their system and the changes to the parking function due to take place within the next few months, the policies and procedures will not be reviewed/ updated until at least September 2012.</p> <p>This is an issue that will be addressed with high priority at the performance meeting, due to be held next month (June). They informed us that although the restructure was effective from July 2011, officers took to their new roles and responsibilities several months later, to minimise disruption to the services.</p> <p>Management Update June 2013:</p> <p>Although updating the procedure notes was given a high priority, their update had to wait until the planned upgrade to the Council’s cash receipting system had taken place. Now that the system supplier has resolved its issues, the system has now gone live, albeit later than planned. The revised procedure notes that reflect the changes to the process can now be written and this is already in progress.</p> <p>Revised Deadline: August 2013</p>

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status
				<p>Management Update 3/9/2013: The Cashiers' procedures are still being developed but should be complete by end of September 2013. Revised Deadline: 30 September 2013</p>
Accounts Receivable (Sundry Debtors)				
2	<p>The Debt Recovery procedure should be reviewed and amended, where required. The review should include an assessment of required timescales within the debt recovery process.</p> <p>Following the review, the Debt Recovery procedure should be formalised and implemented and should include KPIs for the Debt Recovery process.</p> <p>Periodic sample checks should be completed to confirm compliance with the procedure and the KPIs.</p> <p>This recommendation incorporates and re-raises the 2010/11 recommendation.</p>	2	September 2011	<p>Partly Implemented <i>Management Update March 2013:</i> The draft procedures were published to reflect the move to a Corporate Debt Management (CDM) structure and described the proactive collections activity being undertaken to achieve collection.</p> <p>In terms of the SAP dunning process, which includes the 30 day timescales, the "as is" position was adopted into the revised procedures as this requires amendments to the SAP system. Given the current restrictions in place on SAP development this will be addressed as part of the OneSAP project. Revised Deadline: 31 December 2013</p>
PROCUREMENT AUDIT				
HAYS Resource Management				
3	<p>The HR team should request that HAYS Resources:</p> <ul style="list-style-type: none"> • Disclose the hidden information supporting the graphs within the monthly Headline Report; • Incorporate the job position numbers into the Headline Report; and • Ensure agency release forms are not processed without the job number included. 	2	October 2011	<p>In Progress <i>Management update as at January 2012</i> The new vendor system, Hays 3SS was due to go live on 7 January 2012. Notes and updates on the new system were circulated by the Head of HR Services to managers on 6 January 2012. It was expected that the implementation of the new system would result in the position and job numbers being made mandatory fields and in managers being able to produce their</p>

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status
				<p>own reports to extract performance data from Hays 3SS.</p> <p>The system was piloted for a period of two weeks from 7-22 January 2012, prior to its expected full release. However, there were issues identified during the piloting stage. A meeting was held between the relevant Council officers and Hays on 20 January 2012 to review progress with the implementation phase and discuss the issues identified.</p> <p>However, subsequent to the meeting a decision was made by management to defer the implementation of the new system until further consideration is given to the issues and until the Council's IT systems are upgraded, as required, and further testing carried out. The decision was taken to continue with the Hays Workflow system until a technical solution is found and implemented with regards to Hays 3SS.</p> <p>Through discussions with management, we had identified that only one officer within HR had access to the Hays 3SS system, while it was being piloted.</p> <p>The controlled two week pilot revealed technical issues which we cannot overcome at this point in time. In view of this, Hays have rolled us back to the Hays Workflow system. The existing process on Workflow remains unchanged.</p> <p>The timing of further testing and implementation of Hays 3SS will be dependent on the outcome of discussions with Hays and the resolution of technical issues.</p> <p>Human Resources Update August 2013</p> <p>The contract has been awarded to Hays. Discussions are scheduled to start mid September to plan the implementation of the Hays 3SS system.</p> <p>Revised deadline: September 2013</p>

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status
				<i>Internal Audit comment:</i> We will obtain a further update from management in September 2013 regarding timing for the implementation of the Hays 3SSS system and the implementation of the required actions to address the recommendation.
4	The Balance Scorecard and Headline Report provided by HAYS Resources should be aligned to include information provided for management review in the same format. Any variation should be explained.	2	November 2011	In Progress <i>Human Resources Update August 2013</i> As above
CHILDREN AND YOUNG PEOPLES SERVICE				
South Grove Children's Centre				
5	<p>The following documents should be presented to the Children's Centre Committee for review and approval:</p> <ul style="list-style-type: none"> • Revised Internal Scheme of Financial Delegation; • Centre Development Plan for 2011/12; and • Haringey Schools Financial Manual. <p>The approval should be recorded in the minutes of the relevant Committee meeting.</p> <p>The Committee should then formally advise the Governing Body with regards to acceptance of the documents. Governing Body approval should be recorded in the minutes of the relevant meeting.</p> <p>Furthermore, a process should be implemented for the continued relevance of all documents affecting the governance of the Centre to be confirmed by the Children's Centre Committee.</p>	1	July 2012	<p>Partly Implemented</p> <p><i>Management Update as at June 2013:</i></p> <p>OFSTED, when visiting in October 2012, recommended that we re-structure our GB committees so that Children's Centre comes under the full general GB and relevant sub-committees. We therefore no longer have a separate Children's Centre Committee.</p> <ol style="list-style-type: none"> 1. Scheme of delegation minuted and approved GB meeting 7 Feb 2013. 2. Haringey Schools Financial Manual - minuted as such on 7 March 2013. 3. Last children's Centre Committee was held on 18 April 2012. Children's Centre Plan was approved here. A 13/14 plan cannot be finalised until the LA SLA meetings have set our targets. We are awaiting the LA and anticipate this to be done by the end of July 2013. 4. Documents: The school and Children's Centre have a combined spreadsheet that lists the policies that are in place

DELOITTE INTERNAL AUDIT - QUARTERLY AUDIT REPORT 2013/14

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status
				<p>and their expiry dates. This list is used when preparing policy and document updates for Governing Body meetings.</p> <p>Management Update as at July 2013:</p> <p>The targets for the Children's Centre were agreed by the Local Authority on 30 July 2013, following which the 2013/14 Plan will be finalised.</p> <p>Internal Audit comment:</p> <p><i>We will confirm completion of all corrective actions in our next report to Corporate Committee.</i></p>

DELOITTE INTERNAL AUDIT - QUARTERLY AUDIT REPORT 2013/14

APPENDIX A

AUDIT AREA	Assurance Level	Recommendations											Priority 1 Recs. Outstanding				
		Category			Implemented				N/A	Not Imp.	In Progress	Not due					
		1	2	3	Total	1	2	3						Total			
Public Health																	
Smoking Cessation Programme	Substantial	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Health Checks Programme	Substantial	0	2	0	2	0	0	2	0	0	0	0	0	0	0	0	0
Total		8	22	3	33	6	20	3	29	0	0	4	0	0	2		

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.
In Progress – officers have started implementation of recommendations

Detailed Progress Report – Outstanding Recommendations 2012/13

Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status
CHIEF EXECUTIVE				
Declarations of Interest				
1	<p>Management should consider amending the Code of Conduct to include the requirement for a nil return to be completed and submitted by officers in high risk services within the Council.</p> <p>As an indication, the requirement could include, but not be limited to, the following areas:</p> <ul style="list-style-type: none"> • Adult Services; • Housing; • Commissioning; • Procurement; • Property Services; • Single Frontline; • Building Services; • Planning and Regeneration; • Benefits and Local Taxation. 	2	March 2013.	<p>In Progress</p> <p>Human Resources Update – August 2013</p> <p>A review of the Code of Conduct has been undertaken in relation to this issue and a decision was taken that an amendment was not required.</p> <p>It was also decided that rather than identifying only those high risk officers, that it would be more appropriate to issue an HRM (HR Memo) to all senior managers across the council to remind them of their responsibility to declare conflict of interests.</p> <p>The HRM will be issued on 9 September with a copy of the Declaration form (a copy of which is also available on the staff intranet). Managers will be required to send either a completed form or a nil declaration to HR by 30 September 2013.</p> <p>Internal Audit comment: <i>We will complete a follow-up of the above actions and the results will be incorporated in our next report to the Corporate Committee.</i></p>
2	<p>A process should be implemented for HR to monitor the number of declarations of interests made throughout the year and where appropriate, to issue regular reminders to officers and senior managers across Council</p>	1	Ongoing.	<p>In Progress</p> <p>As and when the completed declaration forms are returned from individuals, they will be recorded in a spreadsheet and then placed on their personnel record.</p>

DELOITTE INTERNAL AUDIT - QUARTERLY AUDIT REPORT 2013/14

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status
	<p>services (or high risk services only) regarding completion and submission of declarations. The reminder could be issued as part of the HR Memorandum.</p> <p>The monitoring process should also cover the completion of nil returns within high risk services, as recommended above.</p>			<p>Human Resources Update August 2013</p> <p>An amended process for monitoring the Declarations of Interest received will be in place by 30 September.</p> <ul style="list-style-type: none"> The form will be revised and included in the Welcome Pack sent to all new starters. The completed form will form part of the pre-employment checking process. The amended form will stress that the responsibility to complete and submit a new form when their circumstances change lies with each employee. <p>As part of the ongoing monitoring process, a new form will be sent to senior managers every two years so that up to date details or a nil return can be kept on file.</p> <p>Where individuals identify that their circumstances changed during the period but did not notify HR at the time, the case will be followed up with the individual and their manager.</p> <p>A summary report of declarations received during the year will be available annually for Directors in March.</p> <p>Deadline: September 2013</p>
Gifts and Hospitality				
3	<p>A process should be implemented for HR to monitor the number of gift and hospitality declaration forms received throughout the year and where appropriate, to issue regular reminders to officers and senior managers across Council services (or high risk services only) regarding completion and submission of declarations. The reminder could be issued as</p>	1	Ongoing.	<p>In Progress</p> <p>Human Resources Update August 2013</p> <p>The process currently in place is that Gifts and Hospitality forms are authorised in the Directorate and a copy is sent to HR to be logged and filed electronically.</p> <p>A copy of the form is readily available on the staff intranet.</p> <p>Reminder HRMs are sent periodically and the next reminder will be</p>

DELOITTE INTERNAL AUDIT - QUARTERLY AUDIT REPORT 2013/14

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Ref	Recommendation	Priority	Original Implementation Deadline	Progress/Status
	part of the HR Memorandum.			<p>sent to all senior managers to cascade to their staff on 1 December to cover the Christmas/New Year period. Completed forms will be required to be returned to HR by 15 January.</p> <p>A mid-year HRM will be sent to remind managers of their responsibility to declare gifts/hospitality in June 2014 and to cascade this to all their staff.</p> <p>Internal Audit comment: <i>We will check communication of the periodic HRMs and we will provide an update in our next report to the Corporate Committee.</i></p>
Data Quality				
4	The Data Quality Policy should be reviewed annually, updated where necessary and made available to staff. Evidence of this should be retained e.g. through the use of version control.	2	7 September 2012.	<p>In Progress</p> <p>The Performance Manager has confirmed that while work has been undertaken to review the Data Quality Policy, this has not yet been completed due to the service waiting on the results of the Government consultation on transparency which it expected to incorporate within policy, and the requirement to complete Children Service statutory returns by the end of July 2013. The results of the Government review are expected to be produced soon, and following this, it is anticipated that the policy will be updated by the end of September 2013.</p> <p>Revised deadline 30 September 2013.</p>

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 regards 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 Limited

London

August 2013

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Member of Deloitte Touche Tohmatsu Limited

APPENDIX B

IN HOUSE AUDIT – IRREGULARITIES INVESTIGATED 01/04/13- 31/03/14 & B/F FROM 2012/13

Directorate	Irregularity Type	No. of cases investigated	No. of cases proven at 30/06/2014	No. of Officers subject to Disciplinary Investigation	Disciplinary Outcome	Value (£) (if known)
Children and Young People's Service	Allegation of Benefit Fraud	5	5	5	1 x Final Written Warning 4 x Pending Disciplinary Action	£13,568
Adults and Housing	Allegation of contribution to irregular benefit claim B/F 2013/14	1	1	1	Dismissed Appeal Lodged	£94,752
	Allegation of Irregular Time Keeping B/F 2013/14	1	1	1	Standard Setting to be undertaken	
Place and Sustainability	Allegation that right to remain in the UK has expired	1	1	1	Contract Withdrawn	
TOTAL		8	8	8		£108,160

Haringey Council – Corporate Committee

Disciplinary Case Analysis April 2013 to June 2013

Introduction

The information in this report is taken from SAP, covering the period April 2013 – June 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 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
AS	7	13	20	16
C	5	4	9	9
CE	2	0	2	2
CR	0	0	0	0
PH	0	0	0	0
PS	4	7	11	9
SP	1	0	1	1
Total	19	24	43	37

Please note that the total number of cases is 43, but this only represents 37 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.

- **Adults & Housing** has the highest percentage of disciplinary cases against its workforce at 2.4% 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	5	6	11	26
Invest. - suspended	10	12	22	51
ET	2	1	3	7
Appeal	2	5	7	16
Total	19	24	43	100

The following table identifies the outcomes of the 24 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	4
Dis. Appeal Dismissed	0	0	1	0	1	4
Dis. Appeal Part Upheld	0	0	1	0	1	4
Dis. Appeal Upheld	0	0	2	0	2	8
Dis. Appeal Withdrawn	0	0	1	0	1	4
Dis. Dismissal	0	4	0	0	4	17
Dis. ET Dismissed	0	0	0	0	0	0
Dis. ET Withdrawn	0	0	0	1	1	4
Dis. Final Written Warning	0	1	0	0	1	4
Dis. No Action	2	4	0	0	6	25
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	1	0	0	0	1	4
Dis. Warning & Sanction	0	1	0	0	1	4
Dis. Written Warning	3	0	0	0	3	13
Escalated to next stage	0	0	0	0	0	0
Suspension Lifted	0	1	0	0	1	4
Total	6	12	5	1	24	100

This table displays reasons for Disciplinary action against employees.

Reasons for Disciplinary Cases				
Reason	Cases Open	Cases Closed	Total	%
Assault	1	0	1	2
Attendance	0	1	1	2
Behaviour	6	9	15	35
Fraud / Theft	2	4	6	14
Misuse of resources	2	1	3	7
Negligence	4	1	5	12
Other	4	8	12	28
Total	19	24	43	100

- The highest cause for disciplinary action was for **Behaviour at 35%** and **Other Reasons at 28%**

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

Disciplinary Case employee representation by Ethnicity and Gender						
Ethnic Class	Female		Male		All	
	Total	%	Total	%	Total	%
B A M E	15	54	13	46	28	76
White	3	38	5	63	8	22
Not Declared	1	100	0	0	1	3
Total	19	51	18	49	37	100

- 32% of the workforce is male, but the male representation with disciplinary cases is higher at 49%

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	6	38	6	38	0	0	0	0	0	0	12	75
	White	3	19	0	0	1	6	0	0	0	0	4	25
	Total	9	56	6	38	1	6	0	0	0	0	16	100
C	B & ME	1	11	0	0	1	11	5	56	0	0	7	78
	White	0	0	1	11	0	0	1	11	0	0	2	22
	Total	1	11	1	11	1	11	6	67	0	0	9	100
CE	B & ME	0	0	1	50	0	0	0	0	0	0	1	50
	White	0	0	0	0	0	0	1	50	0	0	1	50
	Total	0	0	1	50	0	0	1	50	0	0	2	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	6	75	1	13	1	13	0	0	0	0	8	100
	White	0	0	0	0	0	0	0	0	0	0	0	0
	Total	6	75	1	13	1	13	0	0	0	0	8	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	13	36	8	22	2	6	5	14	0	0	28	78
	White	3	8	1	3	1	3	3	8	0	0	8	22
	Total	16	44	9	25	3	8	8	22	0	0	36	100

* 1 employee in grade band SC1-SC5 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	12
No. of cases not concluded	10
No. of cases not concluded - leaver	0
Total	22

Timescales (no of days) of Suspension Cases

The table below looks at the 22 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.

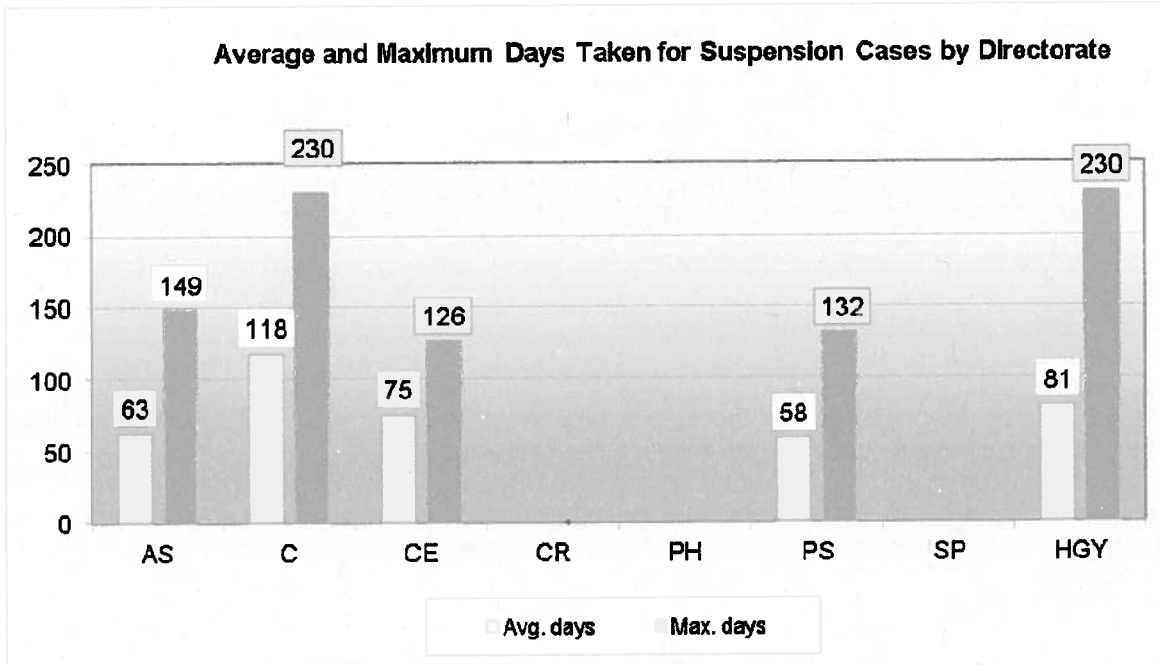
The table also identifies by directorate, the average number of days suspension for all cases, the maximum days for a single case and the number of cases heard within that period.

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	5	4	1	0	0	10	627	63	149	7
C	2	2	2	1	0	7	827	118	230	3
CE	1	0	1	0	0	2	150	75	126	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	0	1	0	0	3	175	58	132	2
SP	0	0	0	0	0	0	0	0	0	0
HGY	10	6	5	1	0	22	1779	81	230	12
Total cases closed	2	4	0	0	1	7				

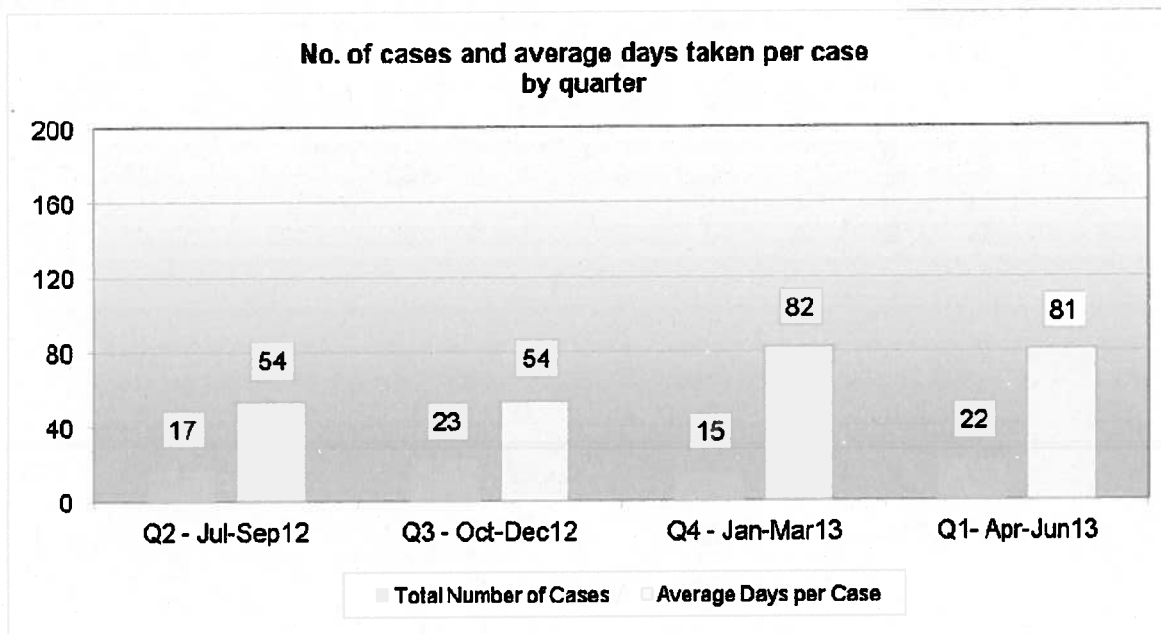
On average, 81 days were spent on each suspension case within the quarter.

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 81 with a total of 22 cases. 10 of these cases remain open at the end of Quarter 1.

Appendix D

Consultants employed by the Council as at 30 June 2013

Dir	Business unit	Status	Name of consultancy, agency, or 'Self Employed'	Start date	End date/ Likely end date	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
CYPS	PEI	Consultant	Mindstretchers Recruitment Agency	31/05/2012	30/03/2013- waiting for update	£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	PEI	Interim	Gatenby Sanderson Recruitment Agency	04/04/2013	30/08/2013	£640	2 to 3	Revenue	Interim Head of Governor Support and Training
CYPS	PEI	Consultant	Ameo Recruitment Agency	21/02/2013	30/08/2013	£630	2 to 4	Revenue	Assist with preparing Youth, YOS and Alternative Provision to move to a commissioning approach.
CYPS	PEI	Interim	Gatenby Sanderson Recruitment Agency	18/02/2013	31/05/2013	£650	2	Revenue	Interim Head of Integrated Working & Family Support
CYPS	PEI	Interim	Green Park Interim & Exec search	08/07/2013	06/12/2013	£675	4	Capital	Interim Head of Integrated Working & Family Support
CYPS	PEI	Consultant	Ameo Recruitment Agency	03/07/2013	27/09/2013	£595	2	Capital	To review the YOS and prepare them for the regulatory inspection.
CYPS	PEI		Woodrow Mercer Recruitment	13/02/2013	30/09/2013	£515	3	Revenue	Performance Management

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Consultants employed by the Council as at 30 June 2013

Dir	Business unit	Status	Name of consultancy, agency, or 'Self Employed'	Start date	End date/ Likely end date	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
CYPS	PEI		Self Employed	07/11/2012	28/06/2013	£450	2	Revenue	Carry out West Green Primary investigation
CYPS	PEI	Interim	Self Employed ESI Ref. confirmed	01/07/2013	04/10/2013	£460	5	Revenue	Head of Youth and Community Participation
CYPS		Interim	Penna Recruitment Agency	01/07/2013	31/12/2013	£600	5	Revenue	Interim head of Schools HR
CYPS	School Standards & Inclusion	Interim	Self Employed ESI Ref. confirmed	01/09/2011	31/07/2013	£500	5	Revenue	School Improvement Advisor
CYPS	Children & Families	Interim	Ameo Recruitment Agency	30/03/2013	31/07/2013	£615	2	Revenue	To provide additional capacity as Principal Social worker
CYPS	Children & Families	Consultant	Woodward Lewis Associates	01/08/2012	31/07/2013	To be paid a total not exceeding £86,250 for total assignment	as required	Revenue	To provide training around Positive Deviance for the Haringey Families First (Troubled Families) project
CYPS	Children & Families	Interim	Green Park Recruitment Agency	15/01/2013	31/07/2013	£575	5	Revenue	To Provide additional capacity as Principal Social worker
CYPS	Children & Families	Interim	Sanctuary Personnel Ltd	29/04/2013	31/03/2014	£518	5	Revenue	Interim cover for HoS Commissioning & Placements (Adoption &

Appendix D

Consultants employed by the Council as at 30 June 2013

Dir	Business unit	Status	Name of consultancy, agency, or 'Self Employed'	Start date	End date/ Likely end date	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
CYPS	54K	Consultant	Ameo Recruitment Agency	16/01/2013	31/10/2013	£650	5	Revenue	Fostering) Added capacity for short term to accelerate the work of the Haringey 54,000 project
CYPS	54K	Consultant	Penna Recruitment Agency	24/04/2013	04/08/2013*	£750	5	Revenue	People & Change Lead for H54K Transformation Programme. *NB Interim Head of HR w.e.f. 12/08/2013
CYPS	54K	Consultant	Green Park Recruitment Agency	28/05/2013	12 weeks with option to extend for further 4 weeks	£625	5	Revenue	OD Consultant for H54K Transformation Programme
CYPS	54K	Consultant	Penna Recruitment Agency	20/05/2013	8 weeks with option to extend for further 4 weeks	£500	5	Revenue	Business Analyst for H54K Transformation Programme
CYPS	54K	Consultant	Penna Recruitment Agency	20/05/2013	23/08/2013	£500	5	Revenue	Financial Modeller for H54K Transformation Programme

Appendix D

Consultants employed by the Council as at 30 June 2013

Dir	Business unit	Status	Name of consultancy, agency, or 'Self Employed'	Start date	End date/ Likely end date	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
CYPS	Children & Families	Consultant	Self Employed ESI Ref. confirmed	01/06/2011	31/12/2013	£245	1 to 2	Revenue	Independent assessor supporting Adoption team in the assessment of relatives and fosters carers as Special Guardians and prospective adopters
CYPS	Children & Families	Consultant	Self Employed ESI Ref. confirmed	01/06/2011	31/12/2013	£245	1 to 2	Revenue	Independent assessor supporting Adoption team in the assessment of relatives and fosters carers as Special Guardians and prospective adopters
CE	BLT	Consultant	Self Employed ESI Ref. confirmed	01/12/2011	30/11/2013	£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.
CE	BLT	Consultant	Indigo Edge Management Consultancy Agency	01/09/2012	31/03/2014	£500	2	Revenue/Grant	Project Manage the Welfare

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Consultants employed by the Council as at 30 June 2013

Dir	Business unit	Status	Name of consultancy, agency, or 'Self Employed'	Start date	End date/ Likely end date	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
CE	BLT	Consultant	Indigo Edge Management Consultancy Agency	01/09/2012	31/03/2014	£500	2	Revenue/Grant	Project Manage the Welfare
CR	Corporate Finance	Interim	CIPFA	01/03/2012	28/02/2014	£595	4	Revenue	Interim Head of Corporate Finance - covering vacancy
CR	Corporate Finance	Interim	Allen Lane Interim Recruitment Agency	12/12/2012	04/10/2013	£300	5	Revenue	Senior Capital Accountant
CR	Corporate Finance	Interim	CIPFA	05/11/2012	31/01/2014	£495	4.5	Revenue	Interim Head of Finance (CYP) - covering vacancy
CR	Corporate Finance	Interim	CIPFA	12/04/2013	30/09/2013	£520	5	Revenue	Interim Head of Finance (Treasury & Pensions) - covering vacancy
CR	Corporate Finance	Interim	Allen Lane Interim Recruitment Agency	03/06/2013	29/08/2013	£340	3	Revenue Grant (DSG)	Covering a vacant accountant's post assisting with the reconfiguration of the DSG, supporting Schools Forum and completion of the S251 outturn report.

Appendix D

Consultants employed by the Council as at 30 June 2013

Dir	Business unit	Status	Name of consultancy, agency, or 'Self Employed'	Start date	End date/ Likely end date	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
CR	Corporate Finance	Interim	CIPFA	28/01/2013	30/09/2013	£460	5	Revenue	Interim Finance Manager (BAS) - covering vacancy
P&S	Director	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	Consultant	Penna Recruitment Agency	27/05/2013	27/11/2013	£800	4	Revenue	Growth & Regeneration project. Overseeing economic growth strategy for borough: Review HALS: Help develop Council's approach to housing investment & renewal
P&S	Director	Consultant	Gatenby Sanderson Recruitment Agency	27/05/2013	27/06/2014	£855	4	Revenue	To develop a strategy to set out Haringey's housing regeneration approach
P&S	Director	Consultant	Odgers Interim Recruitment Agency	25/03/2013	31/09/2013	£675	5	Revenue	Regenerating Tottenham Programme Manager
P&S	Director	Interim	Odgers Interim Recruitment Agency	15/04/2013	31/12/2013	£640	5	Revenue	Interim Head of Development Management
P&S	Director	Interim	Odgers Interim Recruitment Agency	07/01/2013	05/07/2013	£750	5	Revenue	Interim AD Major Projects

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Consultants employed by the Council as at 30 June 2013

Dir	Business unit	Status	Name of consultancy, agency, or 'Self Employed'	Start date	End date/ Likely end date	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
P&S	Corporate Property Services	Consultant	Self Employed ESI Ref. confirmed	01/11/2008	30/09/2013	£450	2	Capital	Specialist property skills, advice and support related to Spurs project and 639 High road
P&S	Corporate Property Services	Consultant	Self Employed ESI Ref. confirmed	01/10/2011	30/09/2013	£380	3	Revenue	Assist with priority work streams of the Haringey Property review and provide strategic advice.
P&S	Corporate Property Services	Consultant	CPC Solutions UK	01/04/2013	31/12/2013	£385	1	Revenue	To provide expert advice on options to improve financial performance at Technopark
P&S	Single Frontline Services	Consultant	Ogders Interim Recruitment Agency	05/01/2009	31/08/2013	£530	3	Revenue	Finalising the mobilisation of the Highways Contract and a review of Veolia Contract, due to end Aug 2013.

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P&S	Single Frontline Services	Consultant	Penna Recruitment Agency	05/05/2007	31/03/2014	£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.
P&S	Single Frontline Services	Consultant	Aurecon Group - Career Agency	01/04/2012	31/10/2014	£207	5	Funded	Providing specialist Flood Water Management advice so the Council can meet its statutory requirements - We are in discussions with Defra in regards to additional grant funding and this will inform the next steps of resourcing.

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Dir	Business unit	Status	Name of consultancy, agency, or 'Self Employed'	Start date	End date/ Likely end date	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
P&S	Single Frontline Services	Interim	Gatenby Sanderson Recruitment Agency	13/08/2012	30/09/2014	£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
	Single Frontline Services	Interim	Ogders Interim Recruitment Agency	07/05/2013	30/04/2014	£600	5	Revenue	Backfill parts of AD SFL post: Traffic Management, Neighbourhood Action Team, Regulatory Services post 50011230

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Consultants employed by the Council as at 30 June 2013

Dir	Business unit	Status	Name of consultancy, agency, or 'Self Employed'	Start date	End date/ Likely end date	Daily Rate	Days per week	Funding from Revenue, Capital, or Grant	Reason for engagement & benefits
	Single Frontline Services	Consultant	Gatenby Sanderson Recruitment Agency	24/06/2013	31/12/2013	£380	5	Revenue	As part of the Community Safety Review this area of work was identified as a significant gap and it is intended to create a role as part of the proposed revised Community safety Structure. This is planned to be consulted on during Aug / Sept with planned implementation in October, permanent filling of the role will depend on availability of successful candidate.
P&S	Planning, Regeneration & Economy	Consultant	Penna Recruitment Agency	15/01/2009	31/03/2013	£675	2 to 3		
PH		Consultant	Self Employed ESI Ref. confirmed	02/04/2013	31/05/2013	£475	5	Revenue	Supporting Co-Chairs of London Network of Directors