

## INTERNAL AUDIT PLAN PROGRESS AS AT 30 JUNE 2016

| SERVICE GROUPING  | SERVICE                               | AUDIT ACTIVITY   | AUDIT TYPE           | STATUS                   | OPINION     |
|---|---------------------------------------|--|----------------------|--------------------------|-------------|
| <b>2015 / 2016 Internal Audit Plan - Audits Brought Forward</b> |                                       |  |                      |                          |             |
| Assistant Chief Executive (ACE)                                 | Planning and Performance              | Data Quality Framework   | Assurance            | Draft                    |             |
| Assistant Chief Executive (ACE)                                 | Planning and Performance              | DP - Data Breach arrangements  | Assurance            | Planning and Preparation |             |
| Assistant Chief Executive (ACE)                                 | Planning and Performance              | Freedom of Information   | Assurance            | Final                    | Moderate    |
| Assistant Chief Executive (ACE)                                 | Partnerships and Community Engagement | AAPs: Performance Management Framework                                 | Assurance            | Draft                    |             |
| Assistant Chief Executive (ACE)                                 | Partnerships and Community Engagement | Partnership Governance Framework                                       | Key System           | Final                    | Moderate    |
| Children and Adult Services (CAS)                               | Adult Services                        | Section 117 Process  | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)                               | Adult Services                        | Extra Care Housing - Prepaid Card Roll Out                             | Advice & Consultancy | Final                    | N/A         |
| Children and Adult Services (CAS)                               | Adult Services                        | Reablement Car Mileages  | Advice & Consultancy | Complete                 | N/A         |
| Children and Adult Services (CAS)                               | CAS/Resources                         | Effectiveness of Council Employment Tribunal Arrangements              | Advice & Consultancy | Draft                    |             |
| Children and Adult Services (CAS)                               | Children's Services                   | Foster Carer Payments  | Assurance            | Planning and Preparation |             |
| Children and Adult Services (CAS)                               | Children's Services                   | Children's Homes - High Etherley                                       | Assurance            | Draft                    |             |
| Children and Adult Services (CAS)                               | Children's Services                   | Children's Homes - Framwellgate Moor                                   | Assurance            | Draft                    |             |
| Children and Adult Services (CAS)                               | Children's Services                   | Children Safeguarding Governance Arrangements                          | Assurance            | Planning and Preparation |             |
| Children and Adult Services (CAS)                               | Children's Services                   | Supervised Spend - Leaving Care  | Assurance            | Final                    | Limited     |
| Children and Adult Services (CAS)                               | Planning & Service Strategy           | E Market Place   | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)                               | Planning & Service Strategy           | SSID System Review   | Assurance            | Final                    | Substantial |
| Children and Adult Services (CAS)                               | Planning & Service Strategy           | POPPIE Systems Review  | Assurance            | Final                    | Substantial |
| Children and Adult Services (CAS)                               | Planning & Service Strategy           | County Durham Well Being for Life Service - DCRS                       | Assurance            | Final                    | Moderate    |
| Children and Adult Services (CAS)                               | Public Health                         | Drug and Alcohol Treatment Services - Contract Management Arrangements | Assurance            | Final                    | Moderate    |
| Children and Adult Services (CAS)                               | Public Health                         | Review of Lifeline Contract  | Assurance            | Final                    | Moderate    |
| Children and Adult Services (CAS)                               | Public Health                         | Delivery of 0-19 Services - Due Diligence                              | Advice & Consultancy | In Progress              |             |
| Neighbourhood Services (NS)                                     | Direct Services                       | Contract Audit - Direct Services                                       | Assurance            | Final                    | Moderate    |
| Neighbourhood Services (NS)                                     | Direct Services                       | Effectiveness of MAIS and CSE Arrangements                             | Assurance            | Planning and Preparation |             |
| Neighbourhood Services (NS)                                     | Direct Services                       | Fly Tipping  | Assurance            | Planning and Preparation |             |
| Neighbourhood Services (NS)                                     | Direct Services                       | Fleet Management - Development of Fleet Management System              | Advice & Consultancy | In Progress              |             |
| Neighbourhood Services (NS)                                     | EHCP                                  | Inspection of Licensing - Body Art Licences                            | Assurance            | Final                    | Substantial |
| Neighbourhood Services (NS)                                     | EHCP                                  | Licensing Enforcement - Safeguarding Complaints                        | Assurance            | Final                    | Substantial |
| Neighbourhood Services (NS)                                     | EHCP                                  | Accumulations  | Assurance            | Draft                    |             |
| Neighbourhood Services (NS)                                     | EHCP                                  | Works in Default   | Assurance            | Final                    | Substantial |
| Neighbourhood Services (NS)                                     | EHCP                                  | Consumer Services - Weights and Measures Approved Body Status          | Assurance            | Cancelled                |             |
| Neighbourhood Services (NS)                                     | Projects and Business Services        | Compensation Payments  | Advice & Consultancy | Draft                    |             |
| Neighbourhood Services (NS)                                     | Projects and Business Services        | Environmental Compliance   | Advice & Consultancy | Draft                    |             |
| Neighbourhood Services (NS)                                     | Technical Services                    | Compliance with Construction, Design and Maintenance Procedures        | Advice & Consultancy | Draft                    |             |
| Neighbourhood Services (NS)                                     | Technical Services                    | Stores Management - Disposal of Waste Materials                        | Assurance            | Draft                    |             |
| Neighbourhood Services (NS)                                     | Technical Services                    | Capital Project Review   | Assurance            | Final                    | Moderate    |
| Regeneration and Economic Development (RED)                     | Transport and Contract Services       | Telecare Services & Care Connect                                       | Assurance            | In Progress              |             |
| Regeneration and Economic Development (RED)                     | Transport and Contract Services       | Supported Housing - CCTV   | Assurance            | Final                    | Substantial |
| Regeneration and Economic Development (RED)                     | Transport and Contract Services       | Transport - Contractual arrangements                                   | Assurance            | Final                    | Limited     |
| Regeneration and Economic Development (RED)                     | Economic Development and Housing      | Gypsy Roma Traveller Sites   | Assurance            | In Progress              |             |
| Regeneration and Economic Development (RED)                     | Economic Development and Housing      | Business Durham  | Assurance            | In Progress              |             |
| Regeneration and Economic Development (RED)                     | Economic Development and Housing      | Financial Assistance Programme   | Assurance            | Final                    | Moderate    |
| Regeneration and Economic Development (RED)                     | Economic Development and Housing      | Durham Employment and Skills   | Assurance            | Final                    | Substantial |
| Regeneration and Economic Development (RED)                     | Economic Development and Housing      | International Relations  | Assurance            | Draft                    |             |
| Regeneration and Economic Development (RED)                     | Economic Development and Housing      | Durham Villages Regeneration Company                                   | Advice & Consultancy | Final                    | N/A         |
| Resources   | Legal and Demographic Services        | Land Charges   | Assurance            | Final                    | Moderate    |
| Resources   | Corporate Finance and HR              | Procurement - Off Contract Spend                                       | Assurance            | Final                    | Moderate    |
| Resources   | Corporate Finance and HR              | Procurement - CPRs   | Assurance            | Draft                    |             |
| Resources   | Corporate Finance and HR              | Procurement cards  | Assurance            | Draft                    |             |
| Resources   | Corporate Finance and HR              | Journals   | Key System           | Final                    | Substantial |
| Resources   | Corporate Finance and HR              | Recruitment and Selection  | Assurance            | Final                    | Substantial |
| Resources   | Corporate Finance and HR              | Appraisals   | Assurance            | Final                    | Moderate    |
| Resources   | Corporate Finance and HR              | Violent Persons Register   | Assurance            | TOR                      |             |
| Resources   | Corporate Finance and HR / CAS        | Employee tribunal arrangements   | Advice & Consultancy | Draft                    |             |
| Resources   | Financial and HR Services             | Council Tax  | Key System           | In Progress              |             |
| Resources   | Financial and HR Services             | Business Rates   | Key System           | In Progress              |             |
| Resources   | Financial and HR Services             | Housing Benefits   | Key System           | In Progress              |             |
| Resources   | Financial and HR Services             | Creditors  | Key System           | Draft                    |             |
| Resources   | Financial and HR Services             | Creditors - Invoices with no PO  | Key System           | Final                    | Moderate    |
| Resources   | Financial and HR Services             | Creditors - Masterfile   | Key System           | Final                    | Moderate    |
| Resources   | Financial and HR Services             | Cash Collection  | Key System           | In Progress              |             |

## INTERNAL AUDIT PLAN PROGRESS AS AT 30 JUNE 2016

| SERVICE GROUPING                       | SERVICE                                  | AUDIT ACTIVITY  | AUDIT TYPE           | STATUS                   | OPINION     |
|--|--|---|----------------------|--------------------------|-------------|
| Resources                              | Financial and HR Services                | Debtors   | Key System           | In Progress              |             |
| Resources                              | Financial and HR Services                | Payroll   | Key System           | In Progress              |             |
| Resources                              | Financial and HR Services                | Budgetary Control   | Key System           | In Progress              |             |
| Resources                              | Financial and HR Services                | Better Care Fund  | Assurance            | Final                    | Substantial |
| Resources                              | Information and Communication Technology | Income & Expenditure arrangements   | Assurance            | Not Started              |             |
| Resources                              | Information and Communication Technology | ISP - Security Incident Management  | Assurance            | In Progress              |             |
| Resources                              | Information and Communication Technology | ISP - PSN Readiness   | Assurance            | TOR                      |             |
| Resources                              | Information and Communication Technology | ISP - Systems Development & Maintenance   | Assurance            | In Progress              |             |
| Resources                              | Information and Communication Technology | Active Directory  | Advice & Consultancy | In Progress              |             |
| Resources                              | Information and Communication Technology | Design and Print Service  | Assurance            | Final                    | Moderate    |
| Resources                              | Internal Audit, Risk and Fraud           | Counter Fraud arrangements  | Key System           | In Progress              |             |
| <b>2016 / 2017 Internal Audit Plan</b> |  |   |                      |                          |             |
| Assistant Chief Executive (ACE)        | Policy and Communications                | Business Continuity   | Key System           | Not Started              |             |
| Assistant Chief Executive (ACE)        | Planning and Performance                 | Data Quality  | Assurance            | Not Started              |             |
| Assistant Chief Executive (ACE)        | Planning and Performance                 | Equality Impact Assessment process for MTFP   | Assurance            | Draft                    |             |
| Assistant Chief Executive (ACE)        | Planning and Performance                 | Data Protection - Accessing External Databases  | Assurance            | Not Started              |             |
| Assistant Chief Executive (ACE)        | Planning and Performance                 | Data Protection - Neighbourhood Services Healthchecks                                 | Assurance            | Not Started              |             |
| Assistant Chief Executive (ACE)        | Planning and Performance                 | County Records Office   | Assurance            | Draft                    |             |
| Assistant Chief Executive (ACE)        | Planning and Performance                 | Information Governance Group  | Advice & Consultancy | In Progress              |             |
| Assistant Chief Executive (ACE)        | Partnerships and Community Engagement    | Community Grants  | Assurance            | TOR                      |             |
| Children and Adult Services (CAS)      | Adult Services                           | Direct Payment Cards  | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)      | Adult Services                           | Continuing Health Care  | Assurance            | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Adult Services                           | Shared Lives - Review of effectiveness of service                                     | Assurance            | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Adult Services                           | Adaptations Service   | Assurance            | Not Started              |             |
| Children and Adult Services (CAS)      | Adult Services                           | Implementation of the Care Act  | Advice & Consultancy | Not Started              |             |
| Children and Adult Services (CAS)      | Adult Services                           | Pathways - Establishment Audit  | Assurance            | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Adult Services                           | Pathways - Establishment Closure Audit - Consett                                      | Assurance            | Final                    | Substantial |
| Children and Adult Services (CAS)      | Adult Services                           | Pathways - Establishment Closure Audit - Chester Le Street                            | Assurance            | Final                    | Substantial |
| Children and Adult Services (CAS)      | Adult Services                           | Pathways - Establishment Closure Audit - Bishop Auckland                              | Assurance            | Final                    | Substantial |
| Children and Adult Services (CAS)      | Adult Services                           | Reablement Services - Review of effectiveness of service                              | Assurance            | In Progress              |             |
| Children and Adult Services (CAS)      | Children's Services                      | Troubled Families Programme - Milestone 1 of 4  | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)      | Children's Services                      | Troubled Families Programme - Milestone 2 of 4  | Advice & Consultancy | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Children's Services                      | Troubled Families Programme - Milestone 3 of 4  | Advice & Consultancy | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Children's Services                      | Troubled Families Programme - Milestone 4 of 4  | Advice & Consultancy | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Children's Services                      | Children's Homes - Establishment Audit  | Assurance            | Not Started              |             |
| Children and Adult Services (CAS)      | Children's Services                      | Supervised Spend - Leaving Care Service: Follow Up                                    | Assurance            | Not Started              |             |
| Children and Adult Services (CAS)      | Children's Services                      | One Point Hubs - Establishment Audit  | Advice & Consultancy | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Children's Services                      | Aycliffe Locality Office, Residential and Secure Services - Follow Up                 | Assurance            | Not Started              |             |
| Children and Adult Services (CAS)      | Commissioning                            | Transport Group - Outcomes of People 2 review   | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)      | Commissioning                            | Procurement - Arrangements for contract management and monitoring                     | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)      | Commissioning/Resources                  | Creditors supplier Masterfile   | Assurance            | Draft                    |             |
| Children and Adult Services (CAS)      | Education                                | School Programme provided through SLA   | Assurance            | Various                  | 2S, 2M, 2L  |
| Children and Adult Services (CAS)      | Education                                | Direct Salaried Grants  | Advice & Consultancy | Not Started              |             |
| Children and Adult Services (CAS)      | Education                                | Collaborative Fund Grant  | Advice & Consultancy | Not Started              |             |
| Children and Adult Services (CAS)      | Education                                | Youth Employment Initiative   | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)      | Education                                | Schools Financial Value Standard (SFVS)   | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)      | Education                                | Schools - Safe Recruitment and Selection  | Assurance            | Not Started              |             |
| Children and Adult Services (CAS)      | Education                                | The Woodlands Pupil Referral Unit - (Finance and Governance)                          | Assurance            | Not Started              |             |
| Children and Adult Services (CAS)      | Education                                | Careers Service   | Assurance            | Cancelled                |             |
| Children and Adult Services (CAS)      | Education                                | Education & Business Learning Organisation  | Assurance            | Cancelled                |             |
| Children and Adult Services (CAS)      | Education                                | Governor Training   | Advice & Consultancy | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Education                                | School Business Manager Training  | Advice & Consultancy | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Education                                | Head Teacher Group Attendance   | Advice & Consultancy | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Education                                | Schools User Provider Group   | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)      | Planning & Service Strategy              | Information Security - Caldicott compliance - Data Sharing Procedures - Foster Carers | Assurance            | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Planning & Service Strategy              | Information Security - Caldicott compliance (attendance at Caldicott Group meetings)  | Advice & Consultancy | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Planning & Service Strategy              | Petty Cash Arrangements - Locality Offices  | Advice & Consultancy | Planning and Preparation |             |
| Children and Adult Services (CAS)      | Public Health                            | DCRS - Data Quality   | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)      | Public Health                            | Stop Smoking Service (Nicotine Replacement Vouchers) Revisit                          | Advice & Consultancy | In Progress              |             |
| Children and Adult Services (CAS)      | Public Health                            | Stop Smoking Service (Nicotine Replacement Vouchers) Revisit following Advice         | Assurance            | Not Started              |             |
| Children and Adult Services (CAS)      | Public Health                            | Alcohol Brief Interventions Service (PharmOutcomes)                                   | Advice & Consultancy | In Progress              |             |

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|---|--------------------------------------|--|------------------------|--------------------------|---------|
| Children and Adult Services (CAS)           | Public Health                        | Supervised Consumption (Pharmoutcomes)                                       | Advice & Consultancy   | In Progress              |         |
| Children and Adult Services (CAS)           | Children's Services                  | Children's Homes - High Etherley   | Assurance              | Not Started              |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Bulky Goods Collections Service  | Advice & Consultancy   | Not Started              |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Bereavement Services - Public Health Funeral Arrangements                    | Assurance              | Draft                    |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Allotment Management - Follow Up   | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Durham Crematorium   | Assurance (Joint Ctte) | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Mounsett Crematorium   | Assurance (Joint Ctte) | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Woodland Burial Trust – Follow Up  | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Fuel Stocks & Stores   | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Building Services, Repairs & Maintenance works billing processes             | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Direct Services                      | QMS (Quarterly Visit)  | Advice & Consultancy   | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Facilities Management  | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Electrical Components - Procurement Card Expenditure                         | Assurance              | In Progress              |         |
| Neighbourhood Services (NS)                 | Direct Services                      | Play Areas - Inspection Mechanisms and Charges to Parish & Town Councils     | Assurance              | Not Started              |         |
| Neighbourhood Services (NS)                 | EHCP                                 | Control of Infectious Diseases (Third Party Assurance)                       | Assurance              | Not Started              |         |
| Neighbourhood Services (NS)                 | EHCP                                 | Pollution Control - Planning Consultation Arrangements                       | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | EHCP                                 | Contaminated Land  | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | EHCP                                 | Trading Standards Grant  | Grant Claim            | Complete                 | N/A     |
| Neighbourhood Services (NS)                 | Projects and Business Services       | Garden Waste Collection  | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Projects and Business Services       | Environmental Compliance   | Advice & Consultancy   | Not Started              |         |
| Neighbourhood Services (NS)                 | Projects and Business Services       | Data Protection Health Checks (Data Protection arrangements under ACE)       | Assurance              | Not Started              |         |
| Neighbourhood Services (NS)                 | Projects and Business Services       | CRM System Implementation  | Advice & Consultancy   | Not Started              |         |
| Neighbourhood Services (NS)                 | Projects and Business Services       | Customer Services Complaints   | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | Leisure Centre - Core Financial Systems (Shildon & Teesdale)                 | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | Leisure Works Governance Arrangements (Consett Leisure Centre)               | Assurance              | Not Started              |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | 1Life Governance arrangements (Peterlee and Seaham Leisure Centres)          | Assurance              | Not Started              |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | Review of Leisure Centre Timesheet authorisation procedures (10 DCC centres) | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | Shildon Leisure Centre - Follow Up   | Assurance              | Not Started              |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | CLUK Income Share Agreement  | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | County Durham Sport - Trust Arrangements                                     | Advice & Consultancy   | Not Started              |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | Stanley Bowls  | Audit of Accounts      | Not Started              |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | Integrated Leisure Management System   | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | DLI Museum   | Assurance              | In Progress              |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | Gala Stage School  | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | Picture House & Gala ticketing system arrangements                           | Advice & Consultancy   | Not Started              |         |
| Neighbourhood Services (NS)                 | Sport and Leisure Services           | Locomotion - Follow Up   | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Technical Services                   | Civil Engineering Framework Sub £50K - Follow Up                             | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Technical Services                   | Stores (Buildings & Highways)  | Assurance              | Planning and Preparation |         |
| Neighbourhood Services (NS)                 | Technical Services                   | Local Highways Maintenance Fund - Incentive Element                          | Grant Claim            | Not Started              |         |
| Neighbourhood Services (NS)                 | EHCP                                 | Taxi Licensing - Driver Licence Verification                                 | Advice & Consultancy   | Draft                    |         |
| Regeneration and Economic Development (RED) | Planning and Assets                  | Utility Bills  | Assurance              | Planning and Preparation |         |
| Regeneration and Economic Development (RED) | Planning and Assets                  | Section 106 arrangements   | Assurance              | Not Started              |         |
| Regeneration and Economic Development (RED) | Planning and Assets                  | Building Control - Systems Review  | Assurance              | Planning and Preparation |         |
| Regeneration and Economic Development (RED) | Planning and Assets                  | Asset Management   | Assurance              | In Progress              |         |
| Regeneration and Economic Development (RED) | Planning and Assets                  | Land Sales - Quality and Price   | Advice & Consultancy   | Not Started              |         |
| Regeneration and Economic Development (RED) | Planning and Assets                  | Low Carbo  | Grant                  | Planning and Preparation |         |
| Regeneration and Economic Development (RED) | Planning and Assets                  | Rebus  | Grant                  | Planning and Preparation |         |
| Regeneration and Economic Development (RED) | Strategy, Programmes and Performance | EU Structural Funds Programme  | Assurance              | Not Started              |         |
| Regeneration and Economic Development (RED) | Strategy, Programmes and Performance | Project Management arrangements  | Advice & Consultancy   | Not Started              |         |
| Regeneration and Economic Development (RED) | Transport and Contract Services      | Public Right of Way  | Assurance              | Planning and Preparation |         |
| Regeneration and Economic Development (RED) | Transport and Contract Services      | On Street and Off Street Parking   | Assurance              | Planning and Preparation |         |
| Regeneration and Economic Development (RED) | Transport and Contract Services      | Concessionary Fares  | Assurance              | Not Started              |         |
| Regeneration and Economic Development (RED) | Transport and Contract Services      | Transport Contractual Arrangements (follow up)                               | Assurance              | Not Started              |         |

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|---|--|--|----------------------|--------------------------|---------|
| Regeneration and Economic Development (RED) | Transport and Contract Services          | Local Transport Capital Block Funding                            | Grant                | Not Started              |         |
| Regeneration and Economic Development (RED) | Transport and Contract Services          | Local Pinch Point Fund   | Grant                | Not Started              |         |
| Regeneration and Economic Development (RED) | Transport and Contract Services          | Bus Subsidy Ring Fenced Grant                                    | Grant                | Not Started              |         |
| Regeneration and Economic Development (RED) | Economic Development and Housing         | Seaham Marina Grant (Capital)                                    | Grant                | Not Started              |         |
| Regeneration and Economic Development (RED) | Economic Development and Housing         | Accommodation Project  | Advice & Consultancy | Not Started              |         |
| Regeneration and Economic Development (RED) | Economic Development and Housing         | Disabled Facilities Grant  | Grant                | Not Started              |         |
| Regeneration and Economic Development (RED) | Economic Development and Housing         | Netpark Phase 3  | Grant                | Not Started              |         |
| Resources                                   | Legal and Democratic Services            | RIPA Officers Group  | Advice & Consultancy | In Progress              |         |
| Resources                                   | Legal and Democratic Services            | Newco Trading Arrangements - Follow Up                           | Assurance            | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Medium Term Financial Plan                                       | Key System           | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Capital Accounting   | Key System           | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | General Ledger   | Key System           | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Bank Reconciliation  | Key System           | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Short Term Investments   | Key System           | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Banking Arrangements   | Assurance            | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Tendering/Quotation arrangements                                 | Assurance            | In Progress              |         |
| Resources                                   | Corporate Finance and HR                 | Contract Management  | Assurance            | Draft                    |         |
| Resources                                   | Corporate Finance and HR                 | Off Contract Spend   | Assurance            | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Procurement - Schools Commercial Focus                           | Advice & Consultancy | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Oracle Programme Board   | Advice & Consultancy | In Progress              |         |
| Resources                                   | Corporate Finance and HR                 | Oracle Project - Transactional Purchasing Improvement Group      | Advice & Consultancy | In Progress              |         |
| Resources                                   | Corporate Finance and HR                 | Oracle Project - Petty Cash and Payment Cards                    | Advice & Consultancy | In Progress              |         |
| Resources                                   | Corporate Finance and HR                 | Service Reviews  | Advice & Consultancy | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Attendance Management Framework                                  | Assurance            | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Flexible Working Pilot arrangements                              | Advice & Consultancy | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Learning & Development   | Advice & Consultancy | Not Started              |         |
| Resources                                   | Corporate Finance and HR                 | Health & Safety training requirements                            | Assurance            | In Progress              |         |
| Resources                                   | Corporate Finance and HR                 | Employee Car Leasing Scheme                                      | Advice & Consultancy | Complete                 |         |
| Resources                                   | Corporate Finance and HR                 | SLAs with schools working group                                  | Advice & Consultancy | Not Started              |         |
| Resources                                   | Financial and HR Services                | Flexible Working - Variations to Contracts                       | Assurance            | Deferred to 2017/18      |         |
| Resources                                   | Financial and HR Services                | Agency   | Assurance            | In Progress              |         |
| Resources                                   | Financial and HR Services                | Learning Disability Shared Lives Service - Financial Inspections | Assurance            | TOR                      |         |
| Resources                                   | Financial and HR Services                | Creditors  | Key System           | Planning and Preparation |         |
| Resources                                   | Financial and HR Services                | P2P Performance Improvement Project                              | Advice & Consultancy | In Progress              |         |
| Resources                                   | Financial and HR Services                | Payroll  | Key System           | Planning and Preparation |         |
| Resources                                   | Financial and HR Services                | Business Rates   | Key System           | Planning and Preparation |         |
| Resources                                   | Financial and HR Services                | HB, CTR, DHP and Welfare Assistance                              | Key System           | Planning and Preparation |         |
| Resources                                   | Financial and HR Services                | HB Sundry Debtor Overpayments                                    | Key System           | Not Started              |         |
| Resources                                   | Financial and HR Services                | Enforcement, including bailiff arrangements                      | Assurance            | Not Started              |         |
| Resources                                   | Financial and HR Services                | Council Tax  | Key System           | Planning and Preparation |         |
| Resources                                   | Financial and HR Services                | Cash Collection  | Key System           | Planning and Preparation |         |
| Resources                                   | Financial and HR Services                | Debtors  | Key System           | Planning and Preparation |         |
| Resources                                   | Financial and HR Services                | Debtors Working Group  | Advice & Consultancy | In Progress              |         |
| Resources                                   | Financial and HR Services                | Chapter Homes arrangements                                       | Advice & Consultancy | Not Started              |         |
| Resources                                   | Financial and HR Services                | Caspar system  | Advice & Consultancy | Not Started              |         |
| Resources                                   | Financial and HR Services                | ResourceLink Migration Group                                     | Advice & Consultancy | In Progress              |         |
| Resources                                   | Financial and HR Services                | Section 256 agreements   | Grant certification  | Not Started              |         |
| Resources                                   | Financial and HR Services                | Better Care Fund (Section 75)                                    | Grant certification  | Not Started              |         |
| Resources                                   | Information and Communication Technology | Information Security - Backup Procedures                         | Assurance            | Planning and Preparation |         |
| Resources                                   | Information and Communication Technology | Information Security - Information Sharing                       | Assurance            | Planning and Preparation |         |
| Resources                                   | Information and Communication Technology | Mobile Computing   | Assurance            | In Progress              |         |
| Resources                                   | Information and Communication Technology | SQL Server   | Assurance            | Planning and Preparation |         |
| Resources                                   | Information and Communication Technology | ICT Purchasing   | Assurance            | Planning and Preparation |         |
| Resources                                   | Information and Communication Technology | ICT Strategy   | Assurance            | In Progress              |         |
| Resources                                   | Information and Communication Technology | Windows  | Assurance            | TOR                      |         |
| Resources                                   | Information and Communication Technology | Asset Register   | Assurance            | TOR                      |         |
| Resources                                   | Corporate Finance and HR                 | Teachers Pension Fund  | Advice & Consultancy | Not Started              |         |
| Resources                                   | Financial and HR Services                | Teaching Assistants - Review of Data Accuracy                    | Advice & Consultancy | Final                    | N/A     |
| Resources                                   | Financial and HR Services                | Prepaid cards  | Advice & Consultancy | Not Started              |         |
| Resources                                   | Financial and HR Services                | Equal Pay Claims - Review of Calculations                        | Advice & Consultancy | Draft                    |         |
| Resources                                   | Internal Audit, Risk & Fraud             | Insurance - Employers Liability Process                          | Advice & Consultancy | Not Started              |         |