

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013

Appendix 4

Progress as at 30 September 2012

	Service	Audit Ref	Review Type	Status	Assurance Opinion
CORPORATE					
Deferred from 2011/12					
Scheme of Delegation		11075/2013	Advice & Consultancy	NYS	
Award of Contracts		99900x/2013/05	Counter Fraud	Preparation	
Planned work for 2012/13					
Strategic Risk Management		11070/2013	Advice & Consultancy	NYS	
Corporate Governance		66530/2013	Advice & Consultancy	NYS	
Grants Receivable		99900/2013/01	Counter Fraud	NYS	
Grants Payable		99900/2013/02	Counter Fraud	NYS	
Cash Security		99900/2013/03	Counter Fraud	ToR issued	
Payroll: IDEA analysis		99900/2013/04	Counter Fraud	NYS	
Payroll: Timesheets		99900/2013/05	Counter Fraud	NYS	
Payroll: Overtime		99900/2013/06	Counter Fraud	NYS	
Payroll: Starters and Leavers		99900/2013/07	Counter Fraud	NYS	
Expenses and Allowances		99900/2013/08	Counter Fraud	NYS	
Creditor Payments - Quarterly review*		99900/2013/09a	Counter Fraud	Fieldwork	
Creditor Payments - Quarterly review*		99900/2013/09b	Counter Fraud	ToR issued	
Creditor Payments - Quarterly review*		99900/2013/09c	Counter Fraud	ToR issued	
Creditor Payments - Quarterly review*		99900/2013/09d	Counter Fraud	ToR issued	
Housing Tenancy		99900/2013/10	Counter Fraud	NYS	
National Fraud Initiative		99903/2013	Counter Fraud	Fieldwork	
* = 1 ToR for the 4 quarterly reviews. At the end of the first 3 quarters an interim report will be produced, with a full report to be produced by May 2013.					
RESOURCES					
Work in progress @ 30/06/12					
Expenses and Allowances	HR&OD	10260x/2013	Assurance	Final	Moderate
Income Collection: Debtors	Finance Service	10400x/2013	Assurance	Draft	
Cash Collection	Finance Service	10460x/2013	Assurance	Draft	
GL: Key controls and reconciliations	Corporate Finance	10609x/2013	Assurance	Final	Limited
Compliance with Laws and Regs	Legal & Democratic	11095x/2013	Assurance	Draft	
Procurement - Governance Review	Corporate Finance	11051x/2013	Assurance	Fieldwork	
Procurement - Tendering	Corporate Finance	11053x/2013	Assurance	Draft	
Health & Safety Governance review	HR&OD	11240x/2013	Assurance	Final	Substantial

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Design & Print Services	ICT	65000x/2013	Assurance	Fieldwork	
Business Continuity for ICT	ICT	98101x/2013	Assurance	Draft	
Procurement - Quotations	Corporate Finance	11052x/2013	Advice & Consultancy	Complete	N/A
Business Travel & Accommodation	Legal & Democratic	10117x/2013	Advice & Consultancy	Complete	N/A
Digital Durham	ICT	98112x/2013	Advice & Consultancy	Fieldwork	
Audits deferred from 2011/12					
Oracle EBS	Corporate Finance	10604/2013	Assurance	NYS	
Procurement - Contract Register	Corporate Finance	11054x/2013	Assurance	NYS	
Whistle blowing arrangements	Legal & Democratic	11171x/2013	Assurance	ToR issued	
Information Security Policy - Physical Security	ICT	98103x/2013/04	Assurance	Preparation	
Audits scheduled from the strategic plan					
Council Tax	Finance Service	00500/2013	Assurance	Preparation	
NNDR	Finance Service	00550/2013	Assurance	Preparation	
Housing & Council Tax Benefits	Finance Service	00700/2013	Assurance	ToR issued	
Housing Benefit Subsidy	Finance Service	00715/2013	Assurance	NYS	
Revs & Bens Reconciliations	Finance Service	00720/2013	Assurance	Fieldwork	
P2P	Fin Serv/Corp Finance	10150/2013	Assurance	Preparation	
Payroll	HR&OD	10210/2013	Assurance	Preparation	
Income & Debt Recovery	Finance Service	10400/2013	Assurance	NYS	
Credit Card	Finance Service	10417/2013	Assurance	NYS	
ICON Cash Management	Finance Service	10460/2013	Assurance	Preparation	
Short Term Investments	Corporate Finance	10500/2013	Assurance	ToR issued	
Bank Reconciliations	Corporate Finance	10602/2013	Assurance	Preparation	
Budgetary Control & Reporting	Finance Service	10605/2013	Assurance	NYS	
Section 151 Compliance	Corporate Finance	10650/2013	Assurance	NYS	
Banking Arrangements	Corporate Finance	10907/2013	Assurance	Preparation	
Taxation - PAYE	HR&OD	10915/2013/01	Assurance	Preparation	
Taxation - VAT	Corporate Finance	10915/2013	Assurance	Preparation	
Procurement Cards	Finance Service	10925/2013	Assurance	NYS	
Committee Services	Legal & Democratic	10950/2013	Assurance	NYS	
Flexible Working & Contract Variations	HR&OD	11021/2013	Assurance	Preparation	
Unix Security	ICT	98004/2013	Assurance	Preparation	
Windows Security	ICT	98011/2013	Assurance	NYS	
Internet Security	ICT	98012/2013	Assurance	Preparation	
Information Security - Forensic Readiness	ICT	98103/2013/01	Assurance	NYS	
Information Security - Security incident Management	ICT	98103/2013/02	Assurance	NYS	
Information Security - Systems Dev & Mtce	ICT	98103/2013/03	Assurance	NYS	
Information Security - Warranty	ICT	98103/2013/04	Assurance	NYS	
Income & Expenditure Project	ICT	98114/2013	Assurance	NYS	

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Oracle workstreams	Corporate Finance	10607/2013	Advice & Consultancy	Fieldwork	
Review of SLAs	Finance Service	10929/2013	Advice & Consultancy	ToR issued	
RIPA Group	Legal & Democratic	11011/2013	Advice & Consultancy	Fieldwork	
Strategic Procurement Network	Corporate Finance	11057/2013	Advice & Consultancy	Fieldwork	
Information Security Forum	ICT	98103x/2013	Advice & Consultancy	Fieldwork	
Service Requests					
Local Council Tax Scheme	Finance Service	00510/2013	Advice & Consultancy	Fieldwork	
Corporate Credit cards	Corporate Finance	10908/2013	Assurance	Fieldwork	
Leases	Corporate Finance	10927/2013	Assurance	ToR issued	
Petty Cash Usage	Corporate Finance	10928/2013	Assurance	Preparation	
Access Controls	ICT	98037/2013	Assurance	NYS	
Public Services Network	ICT	98108/2013	Assurance	Preparation	
Invoice scanning and indexing	Finance Service	10465/2013	Advice & Consultancy	Preparation	
Oracle EPM project	Corporate Finance	10616/2013	Advice & Consultancy	Preparation	
Oracle BI project	Corporate Finance	10617/2013	Advice & Consultancy	Preparation	
Oracle R12 project	Corporate Finance	10618/2013	Advice & Consultancy	Preparation	
Collection Fund	Finance Service	10926/2013	Advice & Consultancy	NYS	
Unplanned work					
RIPA	Legal & Democratic	11011a/2013	Assurance	Preparation	
ICON v11 project	Finance Service	10460/2013/01	Advice & Consultancy	Fieldwork	
ACE					
Work in progress @ 30/06/12					
Records Management	Planning & Perf.	11010x/2013/04	Assurance	Fieldwork	
Audits deferred from 2011/12					
PGF: AAP Information Governance	Parts & Comm Eng.	11000x/2013/03	Assurance	Preparation	
Data Protection - Encryption	Planning & Perf.	11010x/2013/03	Assurance	ToR issued	
Development of Intranet	Policy & Comms	11005x/2013	Assurance	ToR issued	
Business Continuity Planning	Policy & Comms	11001/2013	Assurance	NYS	
Audits scheduled from the strategic plan					
Partnership Governance Framework	Parts & Comm Eng.	11000/2013	Assurance	Preparation	
Data Protection - Training	Planning & Perf.	11018/2013/01	Assurance	Preparation	
Data Protection - Data Access	Planning & Perf.	11018/2013/02	Assurance	NYS	
Data Quality - Rolling Programme	Planning & Perf.	11080/2013	Assurance	NYS	
Communications - Internet	Policy & Comms	11017/2013/02	Assurance	NYS	

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Information Governance Group	Planning & Perf.	11010/2013	Advice & Consultancy	Fi	
Communications - Internet Development.	Policy & Comms	11017/2013/01	Advice & Consultancy	Preparation	
Community Buildings	Parts & Comm Eng.	11019/2013	Advice & Consultancy	Preparation	
RED					
Work in progress @ 30/06/12					
Capital contract review	Econ. Dev. & Housing	99805x/2013/01	Advice & Consultancy	Fieldwork	
Audits deferred from 2011/12					
Implementation of new planning system	Planning & Assets	26035/2013	Advice & Consultancy	In Progress	
Grants process	Strat, Progs & Perf.	00600/2013	Assurance	ToR issued	
Business Durham	Econ Dev & Housing	13561/2013	Assurance	NYS	
HR ALMOs Contract Monitoring	Econ Dev & Housing	00810/2013	Assurance	Preparation	
Taxi Contracts follow up	Trans. & Cont. Serv.	25895/2013	Advice & Consultancy	Not Started	
Audits scheduled from the strategic plan					
Ad hoc grant certification work	Strat, Progs & Perf.	00601/2013	Grant Certification	In Progress	
Visit County Durham	Econ Dev & Housing	14615/2013	Assurance	Preparation	
Private Sector Housing	Econ Dev & Housing	13562/2013	Assurance	NYS	
Housing Tenancies	Econ Dev & Housing	00820/2013	Assurance	NYS	
Supported Housing	Trans. & Cont. Serv.	13092/2013	Assurance	ToR issued	
Service Requests					
Development Control - Mystery Shopping	Planning & Assets	26040/2013	Assurance	ToR issued	
Project Genesis	Strat, Progs & Perf.	26045/2013	Advice & Consultancy	Preparation	
Projects outside of scope of corporate programme	Trans. & Cont. Serv.	26046/2013	Advice & Consultancy	Not Started	
Utility Bills	Planning & Assets	26047/2013	Assurance	Preparation	
NS					
Work in progress @ 30/06/12					
Management of Gym Memberships	Sport & Leisure - Indoor Facilities	12260/2012.bf	Assurance	Field work completed	
Trade Waste	Direct Services - Streetscene	22010/2012.bf	Assurance	Final Report	N/A
Pollution Control	EHCP - Environmental Protection	12265/2012.bf	Assurance	TOR issued	
Highways Maintenance	Technical Services	25890/2012.bf	Assurance	TOR Drafted	

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Repairs and Maintenance	Direct Services - Building and Facilities Maintenance	20011/2012.bf	Assurance	Field work completed	
Audits scheduled from the strategic plan					
Bereavement Services	Direct Services - Streetscene	13003/2013	Assurance	NYS	
Non Council Services	Direct Services - Fleet	20100/2013/01	Assurance	TOR issued	
Enforcement & Education	Direct Services - Streetscene	13421/2013	Assurance	NYS	
Construction Services and Planned Maintenance Programme	Direct Services - Building and Facilities Maintenance	60720/2013	Assurance	NYS	
Housing Maintenance	Direct Services - Building and Facilities Maintenance	13098/2013	Assurance	NYS	
Public Health Enforcement - Housing Multiple Occupation Licences	EHCP - Environmental Protection	13031/2013	Assurance	TOR Drafted	
Events Management (Compliance testing - follow up from 2011/12)	Sport & Leisure - Events Management	13430/2013	Assurance	Draft Report	
Stores	Stores Management	20020/2013	Assurance	Draft Report	
Trade Waste	Direct Services - Streetscene	22010/2012.bf	Assurance	NYS	
Service Requests					
Stores Management - On site processes for stores management / disposal of waste materials	Technical Services Direct Services	25001/2013	Assurance	Draft Report	
Budgetary Control - Focus on management of duplicate receipting of expenditure on system and allocation of costs to budget heads	Technical Services	10635/2013	Assurance	TOR Drafted	
Cash reconciliation, cash receipting (including analysis of alternative methods) and recovery	Sport & Leisure - Indoor Facilities	10435/2013/01	Advice & Consultancy	NYS	
Energy Management Arrangements	Sport & Leisure - Indoor Facilities	13422/2013	Advice & Consultancy	Fieldwork	
County Durham Sport	Sport & Leisure - Indoor Facilities	12211/2013	Grant Certification	NYS	

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Markets	EHCP - Consumer Protection	13351/2013	Advice & Consultancy	NYS	
Gala Theatre	Sport & Leisure - Indoor Facilities	14901/2013	Assurance	Draft report	
MTFP Savings	Direct Services - County Fleet	20100/2013/02	Advice & Consultancy	NYS	
Unplanned Work					
School Crossing Patrol - Retainer payment arrangements.	Technical Services	99803/2013/03	Assurance	TOR Drafted	
NS - QMS	Direct Services - Building and Facilities Maintenance	99806/2013/03	Advice and Consultancy	NYS	
CAS					
Work in progress @ 30/06/12					
PAYP	County Wide Services	88805/2012.bf	Assurance	Draft Report	
Procurement in Schools	Early Intervention & Partnership Service	70056/2012.bf	Assurance	Draft Report	
Caldicott compliance	Directorate (former CYPS)	58810/2012.bf	Assurance	Draft Report	
School Catering	Achievement Services	70220/2012.bf	Assurance	Field Work Complete	
One Point - Children's services for under 5 year olds and their families	Early Intervention & Partnership Service	70245/2012/bf	Assurance	TOR Issued	
Public Health Transition	PPP	50075/2013	Advice & Consultancy	Field Work Started	
SSID system review	PPP	58800/2012.bf	Assurance	Field Work Complete	
Audits deferred from 2011/12					
Planning & Quality Assurance within CYPS and the Children's and Families Trust	Early Intervention & Partnership Service	70050/2013	Assurance	Planned	
POPPIE system review	PPP	58802x/2013	Assurance	NYS	

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Audits scheduled from the strategic plan					
Looked After Children -to perform follow-up on VFM study undertaken by Service	Safeguarding and Specialist Services	78463/2013	Assurance	NYS	
Specialist Services - to focus on prevention and early intervention	Safeguarding and Specialist Services	78473/2013	Assurance	NYS	
School Admissions	County Wide Services	70235/2013	Advice & Consultancy	NYS	
Learning Support Services	County Wide Services	78462/2013	Assurance	NYS	
Durham Schools Continuing Professional Development Partnership	Achievement Services	78474/2013	Assurance	Cancelled	
Safeguarding of Children in Schools	Achievement Services	78475/2013	Assurance	NYS	
School's cyclical audit programme					
Seascape Primary School	Achievement Services	72004/2013	Assurance	NYS	
Sacriston Nursery and Infant School	Achievement Services	72123/2013	Assurance	NYS	
Broom Cottages Primary and Nursery School	Achievement Services	72400/2013	Assurance	Draft Report	
Langley Moor Primary School	Achievement Services	72455/2013	Assurance	NYS	
Blackhall Colliery Primary School	Achievement Services	72737/2013	Assurance	Field Work Completed	
King Street Primary School	Achievement Services	72750/2013	Assurance	Field Work Completed	
St. Mary Magdalen R.C. Aided Primary School	Achievement Services	73301/2013	Assurance	NYS	
Wolsingham School and Community College	Achievement Services	74139/2013	Assurance	NYS	
Wellfield School	Achievement Services	74218/2013	Assurance	NYS	
Troubled Families Programme	Early Intervention & Partnership Service		Assurance	NYS	
County Durham Care and Support - Shared Lives	Adult Care	50080/2013	Assurance	Field Work Started	
Professional Practice Oversight of Care Management Processes	Adult Care	50085/2013	Assurance	NYS	
Management of service users finances and property	Commissioning	50006/2013	Assurance	TOR issued	
Caldicott Compliance	PPP	58809/2013	Assurance	NYS	
Service Requests					
School Attendance Enforcement	County Wide Services	78453/2013	Advice & Consultancy	Complete	
Award of additional pay in Schools	Achievement Services	78464/2013	Assurance	NYS	
School Benevolent Fund	Schools Financial Management	70107/2013	Advice & Consultancy	NYS	
Medium Term Financial Plan - Home to School and College Transport	Financial Management	70068/2013	Assurance	NYS	

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One Point - Arrangements with the Health Service	Early Intervention & Partnership Service	70245/2013	Assurance	NYS	
Personalisation	Adult Care /Commissioning	50031/2013	Assurance	NYS	
Direct Payments	Adult Care /Commissioning	50030/2013	Assurance	Field Work Started	
Blue Badge Scheme (Part of NFI exercise)	PPP		Counter Fraud	Data Submitted	
Adult Learning	Social Inclusion	50065/2013	Assurance	NYS	