

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013
Progress as at 31 December 2012

Appendix 4

	Service	Audit Ref	Review Type	Status	Assurance Opinion
CORPORATE					
Deferred from 2011/12					
Scheme of Delegation		11075/2013	Counter Fraud	Preparation	
Award of Contracts		99900x/2013/05	Counter Fraud	In Progress	
Declaration of Interests		99900x/2013/06	Counter Fraud	Draft Report	
Planned work for 2012/13					
Strategic Risk Management		11070/2013	Assurance	Preparation	
Corporate Governance		66530/2013	Assurance	Not Started	
Grants Receivable		99900/2013/01	Counter Fraud	Not Started	
Grants Payable		99900/2013/02	Counter Fraud	Not Started	
Cash Security		99900/2013/03	Counter Fraud	ToR issued	
Payroll: IDEA analysis		99900/2013/04	Counter Fraud	Not Started	
Payroll: Timesheets		99900/2013/05	Counter Fraud	Not Started	
Payroll: Overtime		99900/2013/06	Counter Fraud	Not Started	
Payroll: Starters and Leavers		99900/2013/07	Counter Fraud	Not Started	
Expenses and Allowances		99900/2013/08	Counter Fraud	Not Started	
Creditor Payments - Quarterly review*		99900/2013/09a	Counter Fraud	Complete	
Creditor Payments - Quarterly review*		99900/2013/09b	Counter Fraud	In Progress	
Creditor Payments - Quarterly review*		99900/2013/09c	Counter Fraud	In Progress	
Creditor Payments - Quarterly review*		99900/2013/09d	Counter Fraud	ToR issued	
Housing Tenancy		99900/2013/10	Counter Fraud	Not Started	
National Fraud Initiative		99903/2013	Counter Fraud	In Progress	
* = 1 ToR for the 4 quarterly reviews. At the end of each 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 Report	Moderate
Income Collection: Debtors	Finance Service	10400x/2013	Assurance	Final Report	Limited
Cash Collection	Finance Service	10460x/2013	Assurance	Final Report	Limited
GL: Key controls and reconciliations	Corporate Finance	10609x/2013	Assurance	Final Report	Limited
Compliance with Laws and Regs	Legal & Democratic	11095x/2013	Assurance	Final Report	Moderate
Procurement - Governance Review	Corporate Finance	11051x/2013	Assurance	In Progress	
Procurement - Tendering	Corporate Finance	11053x/2013	Assurance	Final Report	Substantial
Health & Safety Governance review	HR&OD	11240x/2013	Assurance	Final Report	Substantial

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Design & Print Services	ICT	65000x/2013	Assurance	Draft Report	
Business Continuity for ICT	ICT	98101x/2013	Assurance	Draft Report	
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	In Progress	
Audits deferred from 2011/12					
Oracle EBS	Corporate Finance	10604/2013	Assurance	Not Started	
Procurement - Contract Register	Corporate Finance	11054x/2013	Assurance	Not Started	
Whistleblowing arrangements	Legal & Democratic	11171x/2013	Assurance	Final Report	Moderate
Information Security Policy - Physical Security	ICT	98103x/2013/04	Assurance	In Progress	
Audits scheduled from the strategic plan					
Council Tax	Finance Service	00500/2013	Assurance	In Progress	
NNDR	Finance Service	00550/2013	Assurance	In Progress	
Housing & Council Tax Benefits	Finance Service	00700/2013	Assurance	In Progress	
Housing Benefit Subsidy	Finance Service	00715/2013	Assurance	Draft Report	
Revs & Bens Reconciliations	Finance Service	00720/2013	Assurance	Final Report	Substantial
P2P	Fin Serv/Corp Finance	10150/2013	Assurance	ToR issued	
Payroll	HR&OD	10210/2013	Assurance	Preparation	
Income & Debt Recovery	Finance Service	10400/2013	Assurance	Preparation	
Card Terminals	Finance Service	10417/2013	Assurance	Not Started	
ICON Cash Management	Finance Service	10460/2013	Assurance	ToR issued	
Short Term Investments	Corporate Finance	10500/2013	Assurance	Draft Report	
Bank Reconciliations	Corporate Finance	10602/2013	Assurance	ToR issued	
Budgetary Control & Reporting	Finance Service	10605/2013	Assurance	ToR issued	
Section 151 Compliance	Corporate Finance	10650/2013	Assurance	Preparation	
Banking Arrangements	Corporate Finance	10907/2013	Assurance	In Progress	
Taxation - PAYE	HR&OD	10213/2013	Assurance	Preparation	
Taxation - VAT	Corporate Finance	10915/2013	Assurance	In Progress	
Procurement Cards	Finance Service	10925/2013	Assurance	ToR issued	
Committee Services	Legal & Democratic	10950/2013	Assurance	ToR issued	
Flexible Working & Contract Variations	HR&OD	11021/2013	Assurance	Preparation	
Unix Security	ICT	98004/2013	Assurance	Preparation	
Windows Security	ICT	98011/2013	Assurance	Not Started	
Internet Security	ICT	98012/2013	Assurance	Preparation	
Information Security - Forensic Readiness	ICT	98103/2013/01	Assurance	Not Started	
Information Security - Security incident Management	ICT	98103/2013/02	Assurance	Not Started	
Information Security - Systems Dev & Mtce	ICT	98103/2013/03	Assurance	Not Started	
Information Security - Warranty	ICT	98103/2013/04	Assurance	Not Started	

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Income & Expenditure Project	ICT	98114/2013	Assurance	Preparation	
Oracle workstreams	Corporate Finance	10607/2013	Advice & Consultancy	In Progress	
Review of SLAs	Finance Service	10929/2013	Advice & Consultancy	In Progress	
RIPA Group	Legal & Democratic	11011/2013	Advice & Consultancy	In Progress	
Strategic Procurement Network	Corporate Finance	11057/2013	Advice & Consultancy	In Progress	
Information Security Forum	ICT	98103x/2013	Advice & Consultancy	In Progress	
Service Requests					
Local Council Tax Scheme	Finance Service	00510/2013	Advice & Consultancy	Complete	N/A
Corporate Credit cards	Corporate Finance	10908/2013	Assurance	In Progress	
Leases	Corporate Finance	10927/2013	Advice & Consultancy	In Progress	
Petty Cash Usage	Corporate Finance	10928/2013	Assurance	ToR issued	
Access Controls	ICT	98037/2013	Assurance	In Progress	
Public Services Network	ICT	98108/2013	Assurance	Preparation	
Invoice scanning and indexing	Finance Service	10465/2013	Advice & Consultancy	In Progress	
Oracle EPM project	Corporate Finance	10616/2013	Advice & Consultancy	In Progress	
Oracle BI project	Corporate Finance	10617/2013	Advice & Consultancy	In Progress	
Oracle R12 project	Corporate Finance	10618/2013	Advice & Consultancy	In Progress	
Collection Fund	Finance Service	10926/2013	Advice & Consultancy	ToR issued	
Unplanned work					
RIPA	Legal & Democratic	11011a/2013	Assurance	In Progress	
ICON v11 project	Finance Service	10460/2013/01	Advice & Consultancy	In Progress	
PCC Elections	Legal & Democratic	10941/2013	Advice & Consultancy	Preparation	
County Council Elections	Legal & Democratic	10942/2013	Advice & Consultancy	Not Started	
ACE					
Work in progress @ 30/06/12					
Records Management	Planning & Perf.	11010x/2013/04	Assurance	In Progress	
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	In Progress	
Development of Intranet	Policy & Comms	11005x/2013	Assurance	*ToR issued	
Business Continuity Planning	Policy & Comms	11001/2013	Assurance	Preparation	
Audits scheduled from the strategic plan					

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Partnership Governance Framework	Parts & Comm Eng.	11000/2013	Assurance	Preparation	
Data Protection - Training	Planning & Perf.	11018/2013/01	Assurance	In Progress	
Data Protection - Data Access	Planning & Perf.	11018/2013/02	Assurance	Not Started	
Data Quality - Rolling Programme	Planning & Perf.	11080/2013	Assurance	Preparation	
Communications - Internet	Policy & Comms	11017/2013/02	Assurance	Defer	
Information Governance Group	Planning & Perf.	11010/2013	Advice & Consultancy	In Progress	
Communications - Internet Dev.	Policy & Comms	11017/2013/01	Advice & Consultancy	Preparation	
Community Buildings	Parts & Comm Eng.	11019/2013	Advice & Consultancy	Complete	N/A
Unplanned work					
CIC Grant Application	Parts & Comm Eng.	99815/2013	Advice & Consultancy	Complete	N/A
* = Although a terms of reference was issued for the Intranet review, the Service requested that the review be delayed until April 2013.					
RED					
Work in progress @ 30/06/12					
DurhamGate	Econ. Dev. & Housing	99805x/2013/01	Advice & Consultancy	Draft Report	
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	In Progress	
Business Durham	Econ Dev & Housing	13561/2013	Assurance	Preparation	
HR ALMOs Contract Monitoring	Econ Dev & Housing	00810/2013	Assurance	In Progress	
Taxi Contracts follow up	Trans. & Cont. Serv.	25895/2013	Advice & Consultancy	Preparation	
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	ToR issued	
Private Sector Housing	Econ Dev & Housing	13562/2013	Assurance	Not Started	
Housing Tenancies	Econ Dev & Housing	00820/2013	Assurance	Preparation	
Supported Housing	Trans. & Cont. Serv.	13092/2013	Assurance	In Progress	
Service Requests					
Development Control - Mystery Shopping	Planning & Assets	26040/2013	Assurance	ToR issued	
Project Genesis	Strat, Progs & Perf.	26045/2013	Assurance	ToR issued	
Projects outside of scope of corporate programme	Trans. & Cont. Serv.	26046/2013	Advice & Consultancy	Request to Cancel	

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	Service	Audit Ref	Review Type	Status	Assurance Opinion
Utility Bills	Planning & Assets	26047/2013	Assurance	In Progress	
NS					
Work in progress @ 30/06/12					
Street Lighting	Technical Services	25009/2012.bf	Assurance	Final Report	Full
Management of Gym Memberships	Sport & Leisure - Indoor Facilities	12260/2012.bf	Assurance	Final Report	Moderate
Trade Waste	Direct Services - Streetscene	22010/2012.bf	Assurance	Final Report	N/A
Audits deferred from 2011/12					
Housing Maintenance - Gas Servicing and Responsive Repairs	Direct Services - Building and Facilities Maintenance	20011/2012.bf	Assurance	Final Report	Substantial
Pollution Control	EHCP - Environmental Protection	12265/2012.bf	Assurance	In Progress	
Highways Maintenance	Technical Services	25890/2012.bf	Assurance	Not Started	
Audits scheduled from the strategic plan					
Stores Management	Projects & Business Services / Direct Services	20020/2013	Assurance	Final Report	Limited
Events Management Compliance Testing - follow up from 2011/12	Sport & Leisure - Events Management	13430/2013	Assurance	Final Report	Moderate
Non Council Services -MOT arrangements	Direct Services - Fleet	20100/2013/01	Assurance	In Progress	
Bereavement Services	Direct Services - Streetscene	13003/2013	Assurance	Final Report	Limited
Public Health Enforcement - Housing Multiple Occupation Licences	EHCP - Environmental Protection	13031/2013	Assurance	In Progress	
Enforcement & Education (follow up from 2011/12)	Direct Services - Streetscene	13421/2013	Assurance	Not Started	
Construction Services and Planned Maintenance Programme	Direct Services - Building and Facilities Maintenance	60720/2013	Assurance	Not Started	
Durham City Homes - Planned Maintenance	Direct Services - Building and Facilities Maintenance	13098/2013	Assurance	Final Report	Full

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Trade Waste - Systems testing	Direct Services - Streetscene	22010/2013/01	Assurance	Not Started	
Service Requests					
Stores Management - On site processes for stores management / disposal of waste materials	Technical Services Direct Services	25001/2013	Assurance	Draft Report	
Energy Management Arrangements	Sport & Leisure - Indoor Facilities	13422/2013	Advice & Consultancy	In Progress	
Gala Theatre - Review of contracting arrangements - productions, show settlements and merchandising. Review of Box Office	Sport & Leisure - Indoor Facilities	14901/2013	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	In Progress	
MTFP Savings - Use of Council vehicles for home to work journey	Direct Services - County Fleet	20100/2013/02	Advice & Consultancy	Not Started	
Cash reconciliation, cash receipting (including analysis of alternative methods) and recovery	Sport & Leisure - Indoor Facilities	10435/2013/01	Advice & Consultancy	Cancelled	
County Durham Sport	Sport & Leisure - Indoor Facilities	12211/2013	Grant Certification	Not Started	
Markets	EHCP - Consumer Protection	13351/2013	Advice & Consultancy	Not Started	
Unplanned Work					
NS - QMS	Direct Services - Building and Facilities Maintenance	99806/2013/03	Advice and Consultancy	Draft Report	N/A
NS - QMS Second Visit	Direct Services - Building and Facilities Maintenance	99806/2013/04	Advice and Consultancy	Draft Report	N/A
School Crossing Patrol - Retainer payment arrangements.	Technical Services	99803/2013/03	Assurance	In Progress	
Cash collection at outside events	Sport & Leisure - Indoor Facilities	99806/2013/05	Advice and Consultancy	In Progress	
Competition Line Contract Review - Invoice Reconciliation	Sport & Leisure - Indoor Facilities	20730/2013	Advice and Consultancy	Complete	N/A
CAS					
Work in progress @ 30/06/12					
Caldicott compliance	Directorate (former CYPS)	58810/2012.bf	Assurance review	Final Report	Moderate

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	Service	Audit Ref	Review Type	Status	Assurance Opinion
Caldicott compliance	Directorate (former AWH)	58809/2012.bf	Assurance review	Final Report	Substantial
Staindrop Primary School	Education	73141/2012.bf	Assurance Review	Final Report	Limited
PAYP	Early Intervention & Involvement	88805/2012.bf	Assurance review	Final Report	Limited
Procurement in Schools	Education	70056/2012.bf	Assurance review	Draft Report	
School Catering	Education	70220/2012.bf	Assurance review	Final Report	Full
Audits deferred from 2011/12					
One Point - Children's services for under 5 year olds and their families	Early Intervention & Involvement	70245/2012/bf	Assurance review	In Progress	
Planning & Quality Assurance within CYPS and the Children's and Families Trust	Early Intervention & Involvement	70050/2013	Assurance review	Preparation	
Operation of taxi contracts, follow up of work currently being undertaken in this area.	Education	25895/2013	Advice & Consultancy	Preparation	
SSID system review	Planning & Service Strategy	58800/2012.bf	Assurance Review	In Progress	
Public Health Transition - Due Diligence	Planning & Service Strategy	50075/2013	Advice & Consultancy	In Progress	
POPPIE system review	Planning & Service Strategy	58802x/2013	Assurance Review	Cancelled	
Audits scheduled from the strategic plan					
County Durham Care and Support - Shared Lives	Adult Care	50080/2013	Assurance Review	Draft Report	
Assurance in relation to Professional Practice Oversight of Care Management Processes	Adult Care	50085/2013	Assurance Review	TOR issued	
Looked After Children - to perform follow-up on VFM study undertaken by Service	Children's Care	78463/2013	Assurance Review	Preparation	
Specialist Services - to focus upon Prevention and Early Intervention	Children's Care	78473/2013	Assurance Review	Not Started	
Management of service users finances and property	Commissioning	50006/2013	Assurance Review	Final Report	Substantial
Troubled Families Programme	Early Intervention & Involvement	00611/2013	Advice & Consultancy	In Progress	
School's cyclical audit programme					
Blackhall Colliery Primary School	Education	72737/2013	Assurance Review	Final Report	Substantial
Broom Cottages Primary and Nursery School	Education	72400/2013	Assurance Review	Final Report	Moderate
King Street Primary School	Education	72750/2013	Assurance Review	Final Report	Moderate
Langley Moor Primary School	Education	72455/2013	Assurance Review	Final Report	Substantial
Seascape Primary School	Education	72004/2013	Assurance Review	Final Report	Substantial
Wellfield School	Education	74218/2013	Assurance Review	Final Report	Moderate

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Wolsingham School and Community College	Education	74139/2013	Assurance Review	Final Report	Moderate
School Admissions - To further develop work undertaken previously to enable staff to better interrogate Admissions data.	Education	70235/2013	Advice & Consultancy	Complete	
St. Mary Magdalen R.C. Aided Primary School	Education	73301/2013	Assurance Review	Draft Report	
Sacriston Nursery and Infant School	Education	72123/2013	Assurance Review	In Progress	
Learning Support Services	Education	78462/2013	Assurance review	Preparation	
Safeguarding of Children in Schools - consideration will be given to other third party assurances provided	Education / Children's Care	78475/2013	Assurance Review	Preparation	
Caldicott Compliance	Planning & Service Strategy	58809/2013	Assurance Review	Not Started	
Service Requests					
School Benevolent Fund	Children's Care	70107/2013	Advice & Consultancy	In Progress	
Personalisation	Commissioning	50031/2013	Assurance Review	TOR issued	
Direct Payments	Commissioning	50030/2013	Assurance Review	Final Report	Limited
One Point - Arrangements with the Health Service	Early Intervention & Involvement	70245/2013	Assurance Review	Preparation	
School Attendance Enforcement - Fixed Penalty Notice arrangements.	Education	78453/2013	Advice & Consultancy	Complete	N/A
Award of additional pay in Schools	Education	78464/2013	Assurance Review	In Progress	
Adult Learning	Education	50065/2013	Assurance Review	Preparation	
Medium Term Financial Plan - Home to School and College Transport	Financial Services	70068/2013	Assurance Review	Preparation	
Blue Badge Scheme	Planning & Service Strategy	99903/2013	Counter Fraud - NFI	Field Work Complete	
Unplanned Work					
School surplus / deficit balance arrangements	Education	70045/2013	Assurance review	Not Started	
Durham Federation	Education	74192/2013	Assurance review	Draft Report	
Control Risk Self Assessment in Schools	Education	70070/2013	Advice & Consultancy	In Progress	