

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
CORPORATE					
Deferred from 2011/12					
	Scheme of Delegation	11075/2013	Assurance	Preparation	
	Award of Contracts	99900x/2013/05	Counter Fraud	In Progress	
	Declaration of Interests	99900x2013/06	Counter Fraud	Not Started	
Planned work for 2012/13					
	Strategic Risk Management	11070/2013	Assurance	Not Started	
	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	In Progress	
	Payroll: IDEA analysis	99900/2013/04	Counter Fraud	Preparation	
	Payroll: Timesheets	99900/2013/05	Counter Fraud	Preparation	
	Payroll: Overtime	99900/2013/06	Counter Fraud	Preparation	
	Payroll: Starters and Leavers	99900/2013/07	Counter Fraud	ToR issued	
	Expenses and Allowances	99900/2013/08	Counter Fraud	Preparation	
	Creditor Payments - Quarterly review*	99900/2013/09a	Counter Fraud	Complete	N/A
	Creditor Payments - Quarterly review*	99900/2013/09b	Counter Fraud	Complete	N/A
	Creditor Payments - Quarterly review*	99900/2013/09c	Counter Fraud	Complete	N/A
	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 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	Final Limited
	Cash Collection	Finance Service	10460x/2013	Assurance	Final Limited
	GL: Key controls and reconciliations	Corporate Finance	10609x/2013	Assurance	Final Limited
	Compliance with Laws and Regs	Legal & Democratic	11095x/2013	Assurance	Final Moderate
	Procurement - Governance Review	Corporate Finance	11051x/2013	Assurance	Draft

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Procurement - Tendering	Corporate Finance	11053x/2013	Assurance	Final	Substantial
Health & Safety Governance review	HR&OD	11240x/2013	Assurance	Final	Substantial
Design & Print Services	ICT	65000x/2013	Assurance	Draft	
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	In Progress	
Pension Lump Sum	HR&OD	99901/2012/03	Investigation	In Progress	
HB Cheques	Finance Service	99901/2013/01	Investigation	In Progress	
Audits deferred from 2011/12					
Oracle EBS	Corporate Finance	10604/2013	Assurance	Defer to 2013/14	
Procurement - Contract Register	Corporate Finance	11054x/2013	Assurance	Cancelled - To include scope in the Award of Contracts	
Whistleblowing arrangements	Legal & Democratic	11171x/2013	Assurance	Final	Moderate
Information Security Policy - Physical Security	ICT	98103x/2013/04	Assurance	Draft	
Audits scheduled from the strategic plan					
Council Tax	Finance Service	00500/2013	Assurance	Draft	
NNDR	Finance Service	00550/2013	Assurance	Draft	
Housing & Council Tax Benefits	Finance Service	00700/2013	Assurance	Final	Moderate
Housing Benefit Subsidy	Finance Service	00715/2013	Assurance	Final	Moderate
Revs & Bens Reconciliations	Finance Service	00720/2013	Assurance	Final	Substantial
P2P	Fin Serv/Corp Finance	10150/2013	Assurance	In Progress	
Payroll	HR&OD	10210/2013	Assurance	ToR issued	
Income & Debt Recovery	Finance Service	10400/2013	Assurance	In Progress	
Credit Card	Finance Service	10417/2013	Assurance	Deferred	
ICON Cash Management	Finance Service	10460/2013	Assurance	Draft	
Short Term Investments	Corporate Finance	10500/2013	Assurance	Final	Moderate
Bank Reconciliations	Corporate Finance	10602/2013	Assurance	ToR issued	
Budgetary Control & Reporting	Finance Service	10605/2013	Assurance	In Progress	
Section 151 Compliance	Corporate Finance	10650/2013	Assurance	Preparation	
Banking Arrangements	Corporate Finance	10907/2013	Assurance	Draft	

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Taxation - PAYE	HR&OD	10213/2013	Assurance	In Progress	
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	Draft	
Flexible Working & Contract Variations	HR&OD	11021/2013	Assurance	ToR issued	
Unix Security	ICT	98004/2013	Assurance	Preparation	
Windows Security	ICT	98011/2013	Assurance	ToR issued	
Internet Security	ICT	98012/2013	Assurance	Preparation	
Information Security - Forensic Readiness	ICT	98103/2013/01	Assurance	Preparation	
Information Security - Security incident Management	ICT	98103/2013/02	Assurance	Cancelled - To include IS framework in scope of PSN review	
Information Security - Systems Dev & Mtce	ICT	98103/2013/03	Assurance	Cancelled - To include in scope of Forensic Readiness review.	
Information Security - Warranty	ICT	98103/2013/04	Assurance	Cancelled - To include IS framework in scope of PSN review	
Income & Expenditure Project	ICT	98114/2013	Assurance	Preparation	
Oracle workstreams	Corporate Finance	10607/2013	Advice & Consultancy	Complete	N/A
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	In Progress	

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Access Controls	ICT	98037/2013	Assurance	Draft	
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	Complete	N/A
Unplanned work					
RIPA	Legal & Democratic	11011a/2013	Assurance	Final	Substantial
ICON v11 project	Finance Service	10460/2013/01	Advice & Consultancy	In Progress	
Private business at work	ICT	99901/2013/25a	Investigation	Complete	
Private business at work	ICT	99901/2013/25b	Investigation	Complete	
Expenses	Legal & Democratic	99901/2013/27	Investigation	Complete	
Access to Records	Finance Service	99901/2013/38	Investigation	Complete	
Missing money	Legal & Democratic	99901/2013/39	Investigation	Complete	
Access to client records	Finance Service	99902/2013/04	Investigation	Complete	
Unauthorised Direct Debit Blocked	Corporate Finance	99901/2013/44	Investigation	Complete: No	
Unauthorised Direct Debits	Corporate Finance	99901/2013/54	Investigation	Complete -	
Fraudulent Cheques presented	Corporate Finance	99901/2013/55	Investigation	Complete -	
Unauthorised Direct Debits	Corporate Finance	99901/2013/59	Investigation	Complete -	
PCC Elections	Legal & Democratic	10941/2013	Advice & Consultancy	In Progress	
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	Draft	
Potential breaches of policies	Parts & Comm Eng.	99902/2012/21	Investigation	Complete	N/A
Audits deferred from 2011/12					
PGF: AAP Information Governance	Parts & Comm Eng.	11000x/2013/03	Assurance	In Progress	
Data Protection - Encryption	Planning & Perf.	11010x/2013/03	Assurance	Draft	
Development of Intranet	Policy & Comms	11005x/2013	Assurance	ToR issued	

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Business Continuity Planning	Policy & Comms	11001/2013	Assurance	Defer to 2013/14	
Audits scheduled from the strategic plan					
Partnership Governance Framework	Parts & Comm Eng.	11000/2013	Assurance	ToR issued	
Data Protection - Training	Planning & Perf.	11018/2013/01	Assurance	Draft	
Data Protection - Data Access	Planning & Perf.	11018/2013/02	Assurance	Not Started	
Data Quality - Rolling Programme	Planning & Perf.	11080/2013	Assurance	ToR issued	
Communications - Internet	Policy & Comms	11017/2013/02	Assurance	Deferred	
Information Governance Group	Planning & Perf.	11010/2013	Advice & Consultancy	In Progress	
Communications - Internet Dev.	Policy & Comms	11017/2013/01	Advice & Consultancy	In Progress	
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
Business Continuity Planning	Policy & Comms	11001/2013	Advice & Consultancy	In Progress	
RED					
Work in progress @ 30/06/12					
Project Management	Econ. Dev. & Housing	99805x/2013/01	Advice & Consultancy	Complete	
Taxi Contract (Individual)	Trans. & Cont. Serv.	99901/2012/28	Investigation	Complete	
Taxi Contracts	Trans. & Cont. Serv.	99901/2012/36	Fraud & Irregularity	Complete	
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	Final	Full
Taxi Contracts follow up	Trans. & Cont. Serv.	25895/2013	Advice & Consultancy	ToR Issued	
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	Deferred	
Private Sector Housing	Econ Dev & Housing	13562/2013	Assurance	Not Started	
Housing Tenancies	Econ Dev & Housing	00820/2013	Assurance	Preparation	
Supported Housing (Income and Funding arrangements)	Trans. & Cont. Serv.	13092/2013	Assurance	Final Report	Full

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Service Requests					
Development Control - Mystery Shopping	Planning & Assets	26040/2013	Assurance	Deferred	
Project Genesis	Strat, Progs & Perf.	26045/2013	Assurance	In Progress	
Projects outside of scope of corporate programme	Trans. & Cont. Serv.	26046/2013	Advice & Consultancy	Cancelled	
Utility Bills	Planning & Assets	26047/2013	Assurance	Final Report	Moderate
Unplanned work					
Compromised access to DCC systems	Econ Dev & Housing	99901/2013/26a	Investigation	Complete	N/A
Compromised access to DCC systems	Econ Dev & Housing	99901/2013/26b	Investigation	Complete	N/A
Income Irregularity	Trans. & Cont. Serv.	99901/2013/34	Investigation	In Progress	
Income Irregularity	Trans. & Cont. Serv.	99901/2013/35	Investigation	In Progress	
Timesheets	Trans. & Cont. Serv.	99901/2013/37	Investigation	Complete	N/A
Windlestone Hall	Planning & Asseys	99902/2013/12	Investigation	Complete	N/A
Alleged unauthorised access to documents	Econ Dev & Housing	99902/2013/14	Investigation		N/A
Neighbourhoods					
Work in progress @ 30/06/12					
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
Pollution Control	EHCP - Environmental Protection	12265/2012.bf	Assurance	In Progress	
Highways Maintenance	Technical Services	25890/2012.bf	Assurance	Postponed pending service review	
Repairs and Maintenance (Gas Servicing and Responsive Repairs)	Direct Services - Building and Facilities Maintenance	20011/2012.bf	Assurance	Final Report	Substantial
Audits scheduled from the strategic plan					
Bereavement Services	Direct Services - Streetscene	13003/2013	Assurance	Final Report	Limited

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Non Council Services - MOT Arrangements	Direct Services - Fleet	20100/2013/01	Assurance	Final Report	Moderate
Enforcement & Education	Direct Services - Streetscene	13421/2013	Assurance	TOR Issued	
Construction Services and Planned Maintenance Programme	Direct Services - Building and Facilities Maintenance	60720/2013	Assurance	Not Started	
Housing Maintenance (Durham City Homes - Planned Maintenance)	Direct Services - Building and Facilities Maintenance	13098/2013	Assurance	Final Report	Full
Public Health Enforcement - Housing Multiple Occupation Licences	EHCP - Environmental Protection	13031/2013	Assurance	Final Report	Moderate
Events Management (Compliance testing - follow up from 2011/12)	Sport & Leisure - Events Management	13430/2013	Assurance	Final Report	Moderate
Stores	Stores Management	20020/2013	Assurance	Final Report	Limited
Trade Waste	Direct Services - Streetscene	22010/2013	Assurance	Not Started	Not Applicable
Service Requests					
Stores Management - On site processes for stores management / disposal of waste materials	Technical Services Direct Services	25001/2013	Assurance	Draft Report	Limited
Budgetary Control - Focus on management of duplicate receipting of expenditure on system and allocation of costs to budget heads	Technical Services	10635/2013	Assurance	Final Report	Moderate
Cash reconciliation, cash receipting (including analysis of alternative methods) and recovery	Sport & Leisure - Indoor Facilities	10435/2013/01	Advice & Consultancy	Complete	
Energy Management Arrangements	Sport & Leisure - Indoor Facilities	13422/2013	Advice & Consultancy	Complete	N/A
County Durham Sport	Sport & Leisure - Indoor Facilities	12211/2013	Grant Certification	Complete	N/A
Markets	EHCP - Consumer Protection	13351/2013	Advice & Consultancy	Deferred	
Gala Theatre	Sport & Leisure - Indoor Facilities	14901/2013	Assurance	Final Report	Moderate
MTFP Savings	Direct Services - County Fleet	20100/2013/02	Advice & Consultancy	Not Started	

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Unplanned Work					
School Crossing Patrol - Retainer payment arrangements.	Technical Services	99803/2013/03	Assurance	Draft Report	Moderate
NS - QMS	Direct Services - Building and Facilities Maintenance	99806/2013/03	Advice and Consultancy	Final Report	N/A
NS - QMS Subsequent quarterly visits	Direct Services - Building and Facilities Maintenance	99806/2013/04	Advice and Consultancy	Draft Report	N/A
Cash collection arrangements at outside events	Sport & Leisure - Events Management	99806/2013/05	Advice and Consultancy	Complete	N/A
Competition Line Contract Review	Sport & Leisure Indoor Facilities	20730/2013	Advice and Consultancy	Complete	N/A
Competition Line Income Share Agreement	Sport & Leisure Indoor Facilities	20730/2013/01	Advice and Consultancy	Complete	N/A
Fraud and Irregularities					
Allegations of collusion with supplier leading to payment of goods not supplied.	Direct Services	99901/2012/23	Investigation	In Progress	
Employee continued to be paid after leaving	Direct Services	99901/2012/32	Investigation	In Progress	
Employee paid for hours not worked.	Technical Services	99901/2012/35	Investigation	Complete	
Allegations of employee using DCC fencing for private work and also offering to sell fencing to the public.	Direct Services	99901/2013/04	Investigation	Final Report	
Allegations Regarding the Disposal of Scrap Metal.	Direct Services	99901/2013/09	Investigation	Final Report	N/A
Letter of complaint received from former employee alleging staff had stolen and sold council materials	Direct Services	99901/2013/10	Investigation	Complete	
Theft of equipment from council Depot.	Direct Services	99901/2013/13	Investigation	Complete	
DCC Stock Items Being Sold on E-bay.	Direct Services	99901/2013/16	Investigation	Final Report	
Allegations of Employee running a Business from work.	Technical Services	99901/2013/23	Investigation	Complete	
Inappropriate Amendment to Job Sheets.	Direct Services	99901/2013/31	Investigation	Complete	
Payroll Irregularities	Technical Services	99901/2013/36	Investigation	Complete	
Allegations of stealing items from work and selling them on e-bay	Direct Services	99901/2013/45	Investigation	Complete	
Allegations that employee has taken goods without processing through the till	Sport & Leisure - Indoor Facilities	99901/2013/46	Investigation	Complete	

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Theft of £40 from float.	Sport & Leisure - Indoor Facilities	99901/2013/48	Investigation	Complete	
Allegations that staff are accepting backhanders from Companies for placing orders with them for van hire.	Direct Services	99901/2013/49	Investigation	In Progress	
Allegation relating to free/discounted membership	Leisure Services	99902/2012/17	Investigation	Final Report	
Allegations of abuse of flexi time.	Environment, Health & Consumer Protection	99902/2012/23	Investigation	Complete	
Accessing Internet During Work Time.	Leisure Services	99902/2013/05	Investigation	Complete	
Accessing Internet During Work Time.	Leisure Services	99902/2013/06	Investigation	Complete	
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/07	Investigation	Complete	
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/08	Investigation	Complete	
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/09	Investigation	In Progress	
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/10	Investigation	Complete	
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/11	Investigation	Complete	
Cash Discrepancies. Management request to review systems	Sport & Leisure - Indoor Facilities	99902/2013/62	Investigation	In Progress	
Theft of cash referred to Police	Sport & Leisure - Indoor Facilities	99902/2013/66	Investigation	Complete	
Cash Discrepancy due to recording error	Sport & Leisure - Indoor Facilities	99902/2013/67	Investigation	Complete	
Stanley Bowls Club Annual Accounts	Sports & Leisure	12210/2013	Advice & Consultancy	Complete	
Children and Adults Services					
Work in progress @ 30/06/12					
PAYP	County Wide Services	88805/2012.bf	Assurance	Final Report	Limited

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Procurement in Schools	Early Intervention & Partnership Service	70056/2012.bf	Assurance	Draft Report	Moderate
Caldicott compliance	Directorate (former CYPS)	58810/2012.bf	Assurance	Final Report	Moderate
Caldicott compliance	Directorate (former AWH)	58809/2012.bf	Assurance	Final Report	Substantial
School Catering	Achievement Services	70220/2012.bf	Assurance	Final Report	Full
One Point - Children's services for under 5 year olds and their families	Early Intervention & Partnership Service	70245/2012/bf	Assurance	Draft Report	Moderate
Public Health Transition Due Diligence	PPP	50075/2013	Advice & Consultancy	Complete	N/A
SSID system review	PPP	58800/2012.bf	Assurance	Final Report	Moderate
Audits deferred from 2011/12					
Planning & Quality Assurance within CYPS and the Children's and Families Trust	Early Intervention & Partnership Service	70050/2013	Assurance	Deferred	
POPPIE system review	PPP	58802x/2013	Assurance	Deferred	
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	Preparation	
Specialist Services - to focus on prevention and early intervention	Safeguarding and Specialist Services	78473/2013	Assurance	Preparation	
School Admissions	County Wide Services	70235/2013	Advice & Consultancy	Complete	N/A
Learning Support Services	County Wide Services	78462/2013	Assurance	In Progress	
Durham Schools Continuing Professional Development Partnership	Achievement Services	78474/2013	Assurance	Cancelled	
Safeguarding of Children in Schools	Achievement Services	78475/2013	Assurance	Preparation	
School's cyclical audit programme					
Seascape Primary School	Achievement Services	72004/2013	Assurance	Final Report	Moderate
Sacrison Nursery and Infant School	Achievement Services	72123/2013	Assurance	Final Report	Moderate
Broom Cottages Primary and Nursery School	Achievement Services	72400/2013	Assurance	Final Report	Moderate
Langley Moor Primary School	Achievement Services	72455/2013	Assurance	Final Report	Substantial
Blackhall Colliery Primary School	Achievement Services	72737/2013	Assurance	Final Report	Substantial
King Street Primary School	Achievement Services	72750/2013	Assurance	Final Report	Moderate
St. Mary Magdalen R.C. Aided Primary School	Achievement Services	73301/2013	Assurance	Final Report	Substantial
Wolsingham School and Community College	Achievement Services	74139/2013	Assurance	Final Report	Moderate

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Wellfield School	Achievement Services	74218/2013	Assurance	Final Report	Moderate
Troubled Families Programme	Early Intervention & Partnership Service	00611/2013	Assurance	Preparation	
County Durham Care and Support - Shared Lives	Adult Care	50080/2013	Assurance	Final Report	Substantial
Professional Practice Oversight of Care Management Processes	Adult Care	50085/2013	Assurance	Final Report	Full
Management of service users finances and property	Commissioning	50006/2013	Assurance	Final Report	Substantial
Caldicott Compliance	PPP	58809/2013	Assurance	Preparation	
Service Requests					
School Attendance Enforcement	County Wide Services	78453/2013	Advice & Consultancy	Complete	N/A
Award of additional pay in Schools	Achievement Services	78464/2013	Assurance	Draft Report	Moderate
School Benevolent Fund	Schools Financial Management	70107/2013	Advice & Consultancy	Final Report	N/A
Medium Term Financial Plan - Home to School and College Transport	Financial Management	70068/2013	Assurance	Preparation	
One Point - Arrangements with the Health Service	Early Intervention & Partnership Service	70245/2013	Assurance	Preparation	
Personalisation	Adult Care /Commissioning	50031/2013	Assurance	Deferred	
Direct Payments	Adult Care /Commissioning	50030/2013	Assurance	Final Report	Limited
Blue Badge Scheme	PPP		Counter Fraud	Complete	
Adult Learning	Social Inclusion	50065/2013	Assurance	Not Started	
Unplanned Work					
School surplus / deficit balances arrangements		70045/2013	Assurance	Deferred	
Durham Federation		74192/2013	Assurance review	Final Report	Substantial
Control Risk Self Assessment in Schools		70070/2013	Advice & Consultancy	In Progress	
Fraud and Irregularity					
Joint investigation with RED (former AWH) - Taxi companies claiming for unnecessary journey's	Commissioning	99901/2012/28	Investigation	In Progress	
AWH led joint investigation in relation to the allegations of false claims re social care	Safeguarding & Specialist Services / AWH Adult Care Services	99901/2012/27	Investigation	Complete	
Allegation of theft from Care Home.	Adult Care	99901/2012/37	Investigation	Complete	

DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 01 JULY 2012 TO 30 JUNE 2013 AS AT 31/3/2013					
	Service	Audit Ref	Review Type	Status	Assurance Opinion
Potential financial irregularities in relation to a Day Centre amenity fund.	Adult Care	99901/2013/17	Investigation	In Progress	
Theft of monies at Primary School.	Achievement Services	99901/2012/31	Investigation		
Joint investigation with RED (former CYPS) - Claims by taxi contractor for unnecessary journey's	Countywide Services	99901/2012/28	Investigation	Complete	N/A
Suspicions of Completion of fraudulent work programmes and time sheets.	Adult Care	99901/2013/24	Investigation	In Progress	
Theft of laptop.	Education	99901/2013/30	Investigation	In Progress	
Mileage claim discrepancies	Education	99901/2013/32	Investigation	Complete	N/A
Fraudulent application for school admission	Education	99901/2013/28	Investigation	Complete	
Fraudulent application for school admission	Education	99901/2013/29	Investigation	Complete	N/A
Allegation that a Head Teacher was undertaking private business in work time.	Education	99901/2013/33	Investigation	Complete	N/A
School - Allegations of potential fraud and inappropriate management.	Education	99901/2013/40	Investigation	In Progress	
School - Allegations of private goods being purchased via official routes to avoid VAT	Education	99901/2013/43a 99901/2013/43b	Investigation	Complete Complete	N/A
School - Allegations of Theft of IT Equipment and Cash.	Education	99901/2013/43c	Investigation	In Progress	
School - Possible Breach of Procurement Rules - Non-Declaration of Director's position with service provider.	Education	99901/2013/47	Investigation	In Progress	
School - Misappropriation of School Fund Monies.	Education	99901/2013/50	Investigation	In Progress	
Abuse of Flexi Time Arrangements	Early Intervention & Involvement	99902/2013/13	Investigation	In Progress	
Amended Cheque	Education	99901/2013/51	Investigation	Complete	N/A
Theft of cash from school	Education	99901/2013/52	Investigation	Complete	N/A
Cash Discrepancy	Education	99901/2013/53	Investigation	Complete	N/A