

DRAFT ANNUAL INTERNAL PLAN 2013-14 (July 2013-June 2014)

CORPORATE PROVISIONS		DAYS	SUB T
PLANNING, REPORTING AND SERVICE DEVELOPMENT			
Planning and reporting		200	
Follow Up		150	
Quality Assurance and Performance Monitoring		150	
Continuous development of service, including performance management arrangements and development of library key of inherent/operational risks) and controls		30	
Further Development of Corporate Assurance Framework and risk and assurance mapping		50	
Audit Committee Reporting and Support		25	605
COUNTER FRAUD			
	SCOPE		
Counter Fraud Awareness	Maintaining awareness of new initiatives, promoting fraud awareness, monitoring and reporting	120	
NFI	Co-ordination of NFI submissions and outcomes.	30	
Code of Conduct - Employees	To test compliance with requirements regarding declaration of interests & and identify related party transactions	20	
Grants Payable (c/frd from 2012/13)	To identify all grant payments made by the Council and develop and implement risk based programme of compliance assuring testing in this high risk fraud area.	20	
Housing Tenancy (c/frd from 2012/13)	Development of data matching and implementation of testing to detect sub-letting and related potential fraud e.g Right to Buy/Housing Benefit	40	
Creditor Payments	IDEA Data Interrogation to detect potential duplicates / inappropriate payments	40	
Personal Budgets	To review arrangements in place to prevent and detect fraudulent use of personal care budgets	20	
Procurement	Data analysis of creditor payments to detect inappropriate procurement and help identify poor VFM/Efficiency savings	50	340
CORPORATE GOVERNANCE			
	SCOPE		
Strategic Risk Management	Review of corporate risk register following quarterly update to assess reliability of assurance provided in relation to risks that have been removed or reduced to	8	
Ethical Culture	To evaluate the design, implementation and effectiveness of the organisation's ethics related objectives , programme and activities. NB This is a requirement of the new PSIAS that came into effect from 1/4/2013.	30	38
GRANT CERTIFICATION			
	Provision to respond to service requests to certify grant claims from external funding bodies	40	40
CONTINGENCY			
Advice and Consultancy	Provision to address new and emerging risks	600	
Investigations	Provision to complete investigations in progress at the year end and new cases arising during the year.	300	900

SERVICE ACTIVITY/RISK AREA	SERVICE	LINKS TO COUNCIL OBJECTIVES & PRIORITIES	OUTLINE SCOPE	AUDIT TYPE	TIMING	DAYS	SUB T
ACE							
AUDITS IN PROGRESS @ 30-6-13							
Area Action Partnerships	Partnerships and Community Engagement			Assurance		1	
Partnership Governance Framework	Partnerships and Community Engagement			Assurance		3	
Data Protection	Planning & Performance			Assurance		5	
Data Quality	Planning & Performance			Assurance		10	
Corporate Communication	Policy & Communications			Advice & Consultancy		5	
Business Continuity	Policy & Communications			Advice & Consultancy		5	
AUDITS SCHEDULED FROM STRATEGIC PLAN							
Transformation and change	Policy & Communications	ABC9	Efficient and effective services	Development of Joint Working Methodology for assurance on Corporate Improvement Programmes/Projects	Advice & Consultancy	July 2013	40

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Data Quality	Planning & Performance	ABC8	Council assets are optimised and information effectively managed	Rolling programme of quality of PI data	Assurance		40	
Data Protection	Planning & Performance	ABC8	Council assets are optimised and information effectively managed	Rolling programme of compliance reviews	Assurance		30	
Information Governance	Planning & Performance	ABC8	Council assets are optimised and information effectively managed	Participation on Information Governance Group	Advice & Consultancy		3	
Partnerships Governance Framework	Partnerships & Community Engagement	ABC5	Effective Partnership Working	Review of outcomes from annual self-assessment exercise and test sample of partnerships as part of a rolling programme of independent reviews	Assurance		30	
SERVICE REQUESTS								
Area Action Partnerships	Partnerships & Community Engagement	ABC5	Effective Partnership Working	Performance Management Framework	Advice & Consultancy	August/Sept 2013	10	
Community Engagement	Partnerships & Community Engagement	ABC4	Communities and stakeholders are engaged and communicated with	Participatory Budgets Model	Advice & Consultancy	July 2013	10	
		ABC4	Communities and stakeholders are engaged and communicated with	Community Buildings	Advice & Consultancy	April 2014	10	202
CAS								
WORK IN PROGRESS @ 30-6-13								
Looked After Children	Children's Care	C5			Assurance		10	
Specialist Services - Prevention and Early Intervention	Children's Care	C7			Assurance		10	
Safeguarding of Children in Schools	Education / Children's Care	C5			Assurance		10	
One Point - Arrangements with the Health Service	Early Intervention & Involvement	C7			Assurance		5	
Caldicott Compliance	Planning & Service Strategy	ABC8			Assurance		2	
Troubled Families Programme	Children's Care	C6			Assurance		5	
AUDITS DEFERRED FROM 2012-13								
Adult Learning Service	Education	W5	Improve employability and skills	Operational Risk Management	Assurance		10	
County Durham Children and Families Trust	Planning & Service Strategy	ABC5	Effective Partnership Working	Partnership Governance	Assurance		10	
POPPIE System	Planning and Service Strategy	ABC8	Council assets are optimised and information effectively managed	Information Governance	Assurance		15	
School Funding	Education	ABC9	Efficient and effective services	Review of school balances. To be carried out under Resources following requests from both service groupings to review in 2013/14	Assurance		0	
ASSURANCE AUDITS SCHEDULED IN STRATEGIC PLAN								
Secure Services - Contract with Youth Justice Board	Children's Care	S6	Reduce re-offending rates for adults and young people	Partnership Governance	Assurance		10	
Health & Well Being Partnership Board	Planning & Strategy Service	ABC5	Effective Partnership Working	Partnership Governance	Assurance		15	
SEN Placement and Provision	Education	C1	Children and young people are supported to achieve and attain to prepare them for adulthood	Operational Risk Management - Incorporating reviewing the effectiveness of service monitoring arrangements of SEN funded spending in schools	Assurance		10	
Caldicott Compliance	Planning and Service Strategy			Information Governance	Assurance		5	
Schools Organisations and Capital Programme	Education	ABC8	Council assets are optimised and information effectively managed	Operational Risk Management	Assurance		15	

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SERVICE REQUESTS							
Supported Housing	Adult Care	S4	Safeguarding adults whose circumstances make them vulnerable and protect them from avoidable harm	Review of staff housing arrangements	Assurance	Nov-13	15
Gypsies & Travellers Un-authorized Encampments	Early Intervention & Involvement	S5	Build community and organisational resilience for emergency preparedness, response and recovery	Joint review with Quality Development Team to identify best practice in relation to the management of un-authorized encampments	Advice & Consultancy	Jul-13	5
Youth Offending Service	Early Intervention & Involvement	S6	Reduce re-offending rates for adults and young people	Review of financial management arrangements and information used to support MTFP saving	Advice & Consultancy	TBA	10
Domestic Abuse Partnership	Early Intervention & Involvement	S3	Improve the safety of victims and reduce repeat incidents of domestic abuse	Review of robustness of decision making arrangements within Domestic Abuse Forum Executive Group (DAFEG) to ensure the budget reflects the strategic aims of the partnership	Assurance		10
School Funding	Education	ABC9	Efficient and effective services	Review of allocation mechanism to distribute dedicated schools grant following change in funding formula. To be carried out under Resources See below.	Assurance	Jul-13	0
Post 16 Education and Training	Education	C1	Children and young people are supported to achieve and attain to prepare them for adulthood	Support on the development of processes and procedures to fund additional learning support to High Need Students to ensure compliance with new statutory requirements	Advice & Consultancy	Aug-13	10
Blue Badge Scheme	Planning and Service Strategy	ABC2	People are treated fairly and differences respected	Review of arrangements in place following changes to Blue Badge Regulations	Assurance		10
Capita One System	Planning and Service Strategy	ABC8	Council assets are optimised and information effectively managed	System review - information governance	Assurance		10
TEWV	Planning and Service Strategy	ABC5	Effective Partnership Working	Compliance with partnership governance agreement	Assurance		10
Stop Smoking Service	Public Health	H1	Reduce mortality from cancers and circulatory diseases	Audit of claims submitted in relation to the voucher commissioning scheme for Nicotine Replacement Therapy (NRT) Medication	Assurance		10
Support to the Director of Public Health on providing assurance on Health Protection Arrangements	Public Health	ABC9	Efficient and effective services	Potential scope to be discussed with DPH.	Assurance		10
School Benevolent Fund	Schools Financial Management	C1	Children and young people are supported to achieve and attain to prepare them for adulthood	Annual Audit of Accounts	Advice & Consultancy		5 237
NEIGHBOURHOOD SERVICES							
WORK IN PROGRESS @ 30-06-13							
Construction Services and Planned Maintenance Programme	Direct Services - Building and Facilities Maintenance				Assurance		5
Enforcement and engagement - Neighbourhood Wardens	Direct Services -Streetscene				Assurance		5
MTFP - Use of Council vehicles for home to work journeys	Direct Services - County Fleet				Advice & Consultancy		5

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AUDITS DEFERRED FROM 2012-13							
Markets	EHCP - Consumer Protection	W3	A co-ordinated investment in housing infrastructure, employment, retail, leisure, education and health	Operational Risk Management	Assurance		10
ASSURANCE AUDITS SCHEDULED IN STRATEGIC PLAN							
Strategic Waste Management	Projects and Business Services	G8	Deliver sustainable waste management solutions	Operational Risk Management	Assurance		20
Clean and Green Services - Housing Association Contracts	Direct Services - Streetscene	G3	Cleaner, greener, more attractive and sustainable environment	Operational Risk Management	Assurance		15
Licensing and Regulation of Business	EHCP - Public Safety	ABC9	Efficient and effective services	Operational Risk Management	Assurance		12
Private Sector Housing	EHCP - Environmental protection	W6	An Improved housing offer across County Durham	Operational Risk Management	Assurance		12
Winter Maintenance	Technical Services - Strategic Highways	S11	Improved safety of roads and pavements	Review of operational risk management self assessment	Assurance		5
Gala Theatre	Sport and Leisure	ABC9	Efficient and effective services	Operational Risk Management incorporating follow up on limited assurance audits relating to Stage School and Box Office	Assurance		15
Building Maintenance	Direct Services - Building and Facilities Maintenance	ABC8	Council assets are optimised and information effectively managed	Building Compliance	Assurance		15
SERVICE REQUESTS							
Environment Partnership	Customer Relations, Policy & Performance	ABC5	Effective Partnership Working	Support in review of partnership risk management	Advice & Consultancy		10
Building maintenance	Direct Services - Building and Facilities Maintenance	ABC8	Council assets are optimised and information effectively managed	Quarterly compliance with Quality Management System	Assurance		4
Indoor sport facilities	Sport and Leisure	ABC5	Effective Partnership Working	CLUK Income Share Agreement - Partnership Governance	Assurance		2
		ABC9	Efficient and effective services	Integrated Leisure Management System Development & Implementation	Advice & Consultancy		5
Sport Development	Sport and Leisure	ABC8	Council assets are optimised and information effectively managed	County Durham Sport Grant	Grant Certification		6
Stanley Bowls	Sport and Leisure	ABC8	Council assets are optimised and information effectively managed	Annual Audit of Accounts	Advice & Consultancy		3 149
REGENERATION AND ECONOMIC DEVELOPMENT							
AUDITS IN PROGRESS @ 30-6-13							
Business Durham	Economic Development & Housing				Assurance		2
Taxi Contracts	Transport and Contract Services				Assurance		5
Private Sector Housing	Economic Development & Housing				Assurance		5
Housing Tenancies	Economic Development & Housing				Assurance		3
Project Genesis	Strategic Programmes and Performance				Advice & Consultancy		2
AUDITS DEFERRED FROM 2012-13							
Visit County Durham	Economic Development & Housing	W8	Strengthened cultural and tourism offer across the County	Operational Risk Management	Assurance		10
Building Control	Planning & Assets	ABC9	Efficient and effective services	Mystery shopping to test compliance with procedures	Advice & Consultancy	October 2013	10
AUDITS SCHEDULED FROM STRATEGIC PLAN							

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Planning Development Control	Planning & Assets	ABC9	Efficient and effective services	Advice to steering group implementing new planning system	Advice & Consultancy	On-going	5	
				Operational Risk Management	Assurance	April 2014	10	
Building Control	Planning & Assets	ABC9	Efficient and effective services	Operational Risk Management - potential focus on safety at sports grounds	Assurance	December 2013	25	
Asset Management	Planning & Assets	G6	Reduced number of vacant and derelict buildings	Operational risk management - disposal of land and buildings	Assurance	August 2013	20	
Durham City Homes - Housing Rents	Economic Development & Housing	ABC8	Council assets are optimised and information effectively managed	Financial Risk Management	Assurance		10	
ALMOs Housing Rents	Economic Development & Housing	ABC8	Council assets are optimised and information effectively managed	Financial Risk Management	Assurance	April 2014	10	
Civil Parking, Park and Ride, Off Street Parking	Transport & Contract Services	ABC8	Council assets are optimised and information effectively managed	Operational Risk Management	Assurance	September 2013	20	
Sustainable Transport	Transport & Contract Services	ABC8	Council assets are optimised and information effectively managed	Operational Risk Management	Assurance	April 2014	25	
Supported Housing - CCTV	Transport & Contract Services	ABC8	Council assets are optimised and information effectively managed	Operational Risk Management	Assurance	April 2014	10	
SERVICE REQUESTS								
Carbon Reduction Commitment	Planning & Assets	G1	Reduced CO2 emissions		Assurance	July/August	10	182
RESOURCES								
AUDITS IN PROGRESS @ 30-6-13								
Payroll	HR&OD				Assurance		2	
Income & Debt Recovery	Finance Services				Assurance		2	
Budgetary Control & Reporting	Finance Services				Assurance		2	
Taxation PAYE	Corporate Finance				Assurance		1	
Procurement Cards	Finance Services				Assurance		1	
Flexible working and contract variations	HR&OD				Assurance		2	
Internet Security	ICT				Assurance		1	
Information Security - Forensic Readiness	ICT				Assurance		4	
Income and Expenditure Project	ICT				Assurance		2	
Corporate Credit Cards	Corporate Finance				Assurance		1	
Petty Cash Usage	Corporate Finance				Assurance		1	
Public Services Network	ICT				Assurance		3	
Corporate Governance- Litigation Database	Legal & Democratic Services				Assurance		1	
AUDITS DEFERRED FROM 2012-13								
Card terminals / PCI Compliance		ABC8	Council assets are optimised and information effectively managed	Compliance with key controls	Assurance	October 2013	10	
AUDITS SCHEDULED FROM STRATEGIC PLAN								
RIPA Working Group	Legal & Democratic Services			Participation on corporate working group	Advice & Consultancy		2	
Electoral Services	Legal	ABC9	Efficient and effective services	Operational Risk Management	Assurance	March 2014	10	
Homeworking	HR&OD	ABC9	Efficient and effective services	Operational Risk Management	Assurance		10	
Payroll	HR&OD	ABC9	Efficient and effective services	Compliance with key controls	Assurance		20	
General Ledger System	Corporate Finance	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls	Assurance	November 2013	15	
				Bank reconciliation - key control testing	Assurance	October 2013	15	
				Journal Transfer- key control testing	Assurance	February 2014	10	
				Capital accounting - system review	Assurance	November 2013	20	

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MTFP 3	Corporate Finance	ABC7	A balanced four year financial plan that reflects council priorities	Operational Risk Management	Assurance	July 2013	20
Treasury Management	Corporate Finance	ABC8	Council assets are optimised and information effectively managed	Short Term Investments - Compliance with key controls	Assurance	January 2014	15
Procurement	Corporate Finance	ABC8	Council assets are optimised and information effectively managed	Compliance with corporate procedures - quotations	Assurance		10
		ABC8	Council assets are optimised and information effectively managed	Compliance with corporate procedures - tendering	Assurance		10
		ABC8	Council assets are optimised and information effectively managed	Participation on Strategic Procurement Network Working Group	Advice & Consultancy		3
	ICT	ABC8	Council assets are optimised and information effectively managed	IT Purchasing	Assurance		10
Central Establishment Recharges	Finance Services	ABC8	Council assets are optimised and information effectively managed	System Review	Assurance	July/August 2013	15
Revs & Bens reconciliations	Finance Services	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls	Assurance	September 2013	15
P2P System	Finance Services	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls (including use of procurement cards)	Assurance	January 2014	30
Housing Benefit (HB) and Council Tax Reduction (CTR) admin (incl. HB Subsidy and DHP)	Finance Services	ABC8	Council assets are optimised and information effectively managed	Benefits system review following implementation of Council Tax Reduction Scheme	Assurance	October 2013	65
Welfare Assistance Scheme	Finance Services	ABC6	The effects of the welfare reform agenda are effectively managed	Operational Risk Management	Assurance	July 2013	10
NNDR	Finance Services	ABC8	Council assets are optimised and information effectively managed	System Review of new business rates system	Assurance	October 2013	40
Council Tax	Finance Services	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls	Assurance	October 2013	40
Cash Collection	Finance Services	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls	Assurance	January 2014	30
Debtors	Finance Services	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls	Assurance	January 2014	25
Information Security Policies	ICT	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls / Information Governance	Assurance		20
Infrastructure/Networks	ICT	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls / Information Governance	Assurance		10
Mobile Computing	ICT	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls	Assurance		10
SQL Server	ICT	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls	Assurance		10
Software Licenses	ICT	ABC8	Council assets are optimised and information effectively managed	Compliance with key controls	Assurance		10
SERVICE REQUESTS							
Digital Durham	ICT	ABC8	Council assets are optimised and information effectively managed	Project Support	Advice & Consultancy		10
Appraisals	HR&OD	ABC11	A strategic approach to organisational development	Compliance with corporate policy	Assurance	January 2014	20
Attendance Management Framework	HR&OD	ABC10	Good employee and member well-being	Review of effectiveness	Assurance	April 2014	20
Comensura	HR&OD	ABC8	Council assets are optimised and information effectively managed	System review requested by CAS	Assurance		20
S17 Payments -Safeguarding welfare of children	Finance Services	ABC8	Council assets are optimised and information effectively managed	System review	Assurance		10
Public Health Financial Management Arrangements	Finance Services	ABC8	Council assets are optimised and information effectively managed	Operational Risk Management	Assurance	Sept 2013	20
School Funding (Joint request with CAS)	Finance Services	ABC9	Efficient and effective services	Review of allocation mechanism to distribute dedicated schools grant following school funding reforms	Assurance	Jul-13	10

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		ABC9	Efficient and effective services	Review of school financial management performance incorporating arrangement in place within the school funding team and Education Development Partners within CAS to effectively support schools manage their budgets effectively	Assurance	June 2014	15	658
SUMMARY								
Planning, reporting, service development and follow up								605
Counter Fraud								340
Corporate Governance								38
Grant Certification								40
Service Based Activity								1428
Contingency								900
								3351