

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

	Service	Audit Ref	Review Type	Status	Assurance Opinion
<b>CORPORATE</b>					
<b>Deferred from 2011/12</b>					
Scheme of Delegation		11075/2013	Counter Fraud	Cancelled	
Award of Contracts		99900x/2013/05	Counter Fraud	Fieldwork	
Declaration of Interests		99900x2013/06	Counter Fraud	Final	
<b>Planned work for 2012/13</b>					
Strategic Risk Management		11070/2013	Advice & Consultancy	Cancelled	
Corporate Governance		66530/2013	Advice & Consultancy	Fieldwork	
Grants Receivable		99900/2013/01	Counter Fraud	Draft	
Grants Payable		99900/2013/02	Counter Fraud	NYS	
Cash Security		99900/2013/03	Counter Fraud	Fieldwork	
Payroll: IDEA analysis		99900/2013/04	Counter Fraud	Fieldwork	
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	Fieldwork	
Expenses and Allowances		99900/2013/08	Counter Fraud	Preparation	
Creditor Payments - Quarterly review*		99900/2013/09a	Counter Fraud	Final	
Creditor Payments - Quarterly review*		99900/2013/09b	Counter Fraud	Final	
Creditor Payments - Quarterly review*		99900/2013/09c	Counter Fraud	Final	
Creditor Payments - Quarterly review*		99900/2013/09d	Counter Fraud	Final	
Housing Tenancy		99900/2013/10	Counter Fraud	NYS	
National Fraud Initiative		99903/2013	Counter Fraud	Complete	
* = 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.					
<b>RESOURCES</b>					
<b>Work in progress @ 30/06/12</b>					
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

	Service	Audit Ref	Review Type	Status	Assurance Opinion
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	Final	Substantial
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	Final	Moderate
Business Continuity for ICT	ICT	98101x/2013	Assurance	Final	Limited
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	Complete for 2012/13	
Pension Lump Sum	HR&OD	99901/2012/03	Fraud & Irregularity	Fieldwork	
HB Cheques	Finance Service	99901/2013/01	Fraud & Irregularity	Fieldwork	
<b>Audits deferred from 2011/12</b>					
Oracle EBS	Corporate Finance	10604/2013	Assurance	Defer	
Procurement - Contract Register	Corporate Finance	11054x/2013	Assurance	Cancelled (in scope of separate review)	
Whistleblowing arrangements	Legal & Democratic	11171x/2013	Assurance	Final	Moderate
Information Security Policy - Physical Security	ICT	98103x/2013/04	Assurance	Draft	
<b>Audits scheduled from the strategic plan</b>					
Council Tax	Finance Service	00500/2013	Assurance	Final	Moderate
NNDR	Finance Service	00550/2013	Assurance	Final	Moderate
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	Draft	
Payroll	HR&OD	10210/2013	Assurance	Draft	
Income & Debt Recovery	Finance Service	10400/2013	Assurance	Fieldwork	
Credit Card	Finance Service	10417/2013	Assurance	Defer	
ICON Cash Management	Finance Service	10460/2013	Assurance	Final	Moderate
Short Term Investments	Corporate Finance	10500/2013	Assurance	Final	Moderate
Bank Reconciliations	Corporate Finance	10602/2013	Assurance	Draft	
Budgetary Control & Reporting	Finance Service	10605/2013	Assurance	Draft	

	Service	Audit Ref	Review Type	Status	Assurance Opinion
Section 151 Compliance	Corporate Finance	10650/2013	Assurance	Cancelled	
Banking Arrangements	Corporate Finance	10907/2013	Assurance	Final	Limited
Taxation - PAYE	HR&OD	10213/2013	Assurance	Draft	
Taxation - VAT	Corporate Finance	10915/2013	Assurance	Final	Limited
Procurement Cards	Finance Service	10925/2013	Assurance	Fieldwork	
Committee Services	Legal & Democratic	10950/2013	Assurance	Final	Substantial
Flexible Working & Contract Variations	HR&OD	11021/2013	Assurance	Fieldwork	
Unix Security	ICT	98004/2013	Assurance	Fieldwork	
Windows Security	ICT	98011/2013	Assurance	Draft	
Internet Security	ICT	98012/2013	Assurance	Fieldwork	
Information Security - Forensic Readiness	ICT	98103/2013/01	Assurance	Draft	
Information Security - Security incident Management	ICT	98103/2013/02	Assurance	Cancelled (in scope of PSN)	
Information Security - Systems Dev & Mtce	ICT	98103/2013/03	Assurance	Cancelled (in scope of PSN)	
Information Security - Warranty	ICT	98103/2013/04	Assurance	Cancelled (in scope of PSN)	
Income & Expenditure Project	ICT	98114/2013	Assurance	Fieldwork	
Oracle workstreams	Corporate Finance	10607/2013	Advice & Consultancy	Fieldwork	
Review of SLAs	Finance Service	10929/2013	Advice & Consultancy	Fieldwork	
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	
<b>Service Requests</b>					
Local Council Tax Scheme	Finance Service	00510/2013	Advice & Consultancy	Fieldwork	
Corporate Credit cards	Corporate Finance	10908/2013	Assurance	Draft	
Leases	Corporate Finance	10927/2013	Advice & Consultancy	In Progress	
Petty Cash Usage	Corporate Finance	10928/2013	Assurance	Fieldwork	
Access Controls	ICT	98037/2013	Assurance	Final	Moderate
Public Services Network	ICT	98108/2013	Advice & Consultancy	Draft	
Invoice scanning and indexing	Finance Service	10465/2013	Assurance	Preparation	
Oracle EPM project	Corporate Finance	10616/2013	A	In Progress	
Oracle BI project	Corporate Finance	10617/2013	Assurance	In Progress	

	Service	Audit Ref	Review Type	Status	Assurance Opinion
Oracle R12 project	Corporate Finance	10618/2013	Assurance	In Progress	
Collection Fund	Finance Service	10926/2013	Assurance	Draft	
			Advice & Consultancy		
<b>Unplanned work</b>					
RIPA	Legal & Democratic	11011a/2013	Assurance	Final	Substantial
ICON v11 project	Finance Service	10460/2013/01	Advice & Consultancy	In Progress	
PPC Elections	Legal & Democratic	10941/2013	Advice & Consultancy	Complete	
County Council Elections	Legal & Democratic	10942/2013	Advice & Consultancy	Complete	
Private business at work	ICT	99901/2013/25a	Fraud & Irregularity	Complete	
Private business at work	ICT	99901/2013/25b	Fraud & Irregularity	Complete	
Expenses	Legal & Democratic	99901/2013/27	Fraud & Irregularity	Complete	
Access to Records	Finance Service	99901/2013/38	Fraud & Irregularity	Complete	
Missing money	Legal & Democratic	99901/2013/39	Fraud & Irregularity	Complete	
Access to client records	Finance Service	99902/2013/04	Fraud & Irregularity	Complete	
Unauthorised direct debit	Corporate Finance	99902/2013/44	Fraud & Irregularity	Complete	
Unauthorised direct debit	Corporate Finance	99902/2013/54	Fraud & Irregularity	Complete	
Fraudulent cheque presented	Corporate Finance	99902/2013/55	Fraud & Irregularity	Complete	
Unauthorised direct debit	Corporate Finance	99902/2013/59	Fraud & Irregularity	Complete	
Unauthorised direct debit	Corporate Finance	99901/2013/68	Fraud & Irregularity	Complete	
Payroll error	HR & OD	99901/2013/73	Fraud & Irregularity	Complete	
Theft of IT equipment and mobile phone	Legal & Democratic	99901/2013/76	Fraud & Irregularity	Complete	
<b>ACE</b>					
<b>Work in progress @ 30/06/12</b>					
Records Management	Planning & Perf.	11010x/2013/04	Assurance	Draft	
Potential breaches of policies	Parts & Comm Eng.	99902/2012/21	Fraud & Irregularity	Complete	
<b>Audits deferred from 2011/12</b>					
PGF: AAP Information Governance	Parts & Comm Eng.	11000x/2013/03	Assurance	Fieldwork	
Data Protection - Encryption	Planning & Perf.	11010x/2013/03	Assurance	Draft	
Development of Intranet	Policy & Comms	11005x/2013	Assurance	ToR issued	
Business Continuity Planning	Policy & Comms	11001/2013	Assurance	Cancelled	
<b>Audits scheduled from the strategic plan</b>					
Partnership Governance Framework	Parts & Comm Eng.	11000/2013	Assurance	Draft	

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Data Protection - Training	Planning & Perf.	11018/2013/01	Assurance	Draft	
Data Protection - Data Access	Planning & Perf.	11018/2013/02	Assurance	Defer to 2013/14	
Data Quality - Rolling Programme	Planning & Perf.	11080/2013	Assurance	Fieldwork	
Communications - Internet	Policy & Comms	11017/2013/02	Assurance	Cancelled	
Information Governance Group	Planning & Perf.	11010/2013	Advice & Consultancy		
Communications - Internet Dev.	Policy & Comms	11017/2013/01	Advice & Consultancy	Fieldwork	
Community Buildings	Parts & Comm Eng.	11019/2013	Advice & Consultancy	Preparation	
<b>RED</b>					
<b>Work in progress @ 30/06/12</b>					
DurhamGate	Econ. Dev. & Housing	99805x/2013/01	Advice & Consultancy	Complete	
Taxi Contract (Individual)	Trans. & Cont. Serv.	99901/2012/28	Fraud & Irregularity	Complete	
Taxi Contracts	Trans. & Cont. Serv.	99901/2012/36	Fraud & Irregularity	Complete	
<b>Audits deferred from 2011/12</b>					
Implementation of new planning system	Planning & Assets	26035/2013	Advice & Consultancy	In Progress	
Grants process	Strat, Progs & Perf.	00600/2013	Assurance	Draft	
Business Durham	Econ Dev & Housing	13561/2013	Assurance	Fieldwork	
HR ALMOs Contract Monitoring	Econ Dev & Housing	00810/2013	Assurance	Final	Full
Taxi Contracts follow up	Trans. & Cont. Serv.	25895/2013	Advice & Consultancy	Fieldwork	
<b>Audits scheduled from the strategic plan</b>					
Ad hoc grant certification work	Strat, Progs & Perf.	00601/2013	Grant Certification	Complete	
Visit County Durham	Econ Dev & Housing	14615/2013	Assurance	Deferred	
Private Sector Housing	Econ Dev & Housing	13562/2013	Assurance	Preparation	
Housing Tenancies	Econ Dev & Housing	00820/2013	Assurance	Fieldwork	
Supported Housing (Income and Funding arrangements)	Trans. & Cont. Serv.	13092/2013	Assurance	Final	Full
<b>Service Requests</b>					
Development Control - Mystery Shopping	Planning & Assets	26040/2013	Assurance	Deferred	
Project Genesis	Strat, Progs & Perf.	26045/2013	Assurance	Fieldwork	
Projects outside of scope of corporate programme	Trans. & Cont. Serv.	26046/2013	Advice & Consultancy	Cancelled	
Utility Bills	Planning & Assets	26047/2013	Assurance	Final	Moderate

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<b>Unplanned work</b>					
Compromised access to DCC systems	Econ Dev & Housing	99901/2013/26a	Fraud & Irregularity	Complete	
Compromised access to DCC systems	Econ Dev & Housing	99901/2013/26b	Fraud & Irregularity	Complete	
Income Irregularity	Trans. & Cont. Serv.	99901/2013/34	Fraud & Irregularity	In Progress	
Income Irregularity	Trans. & Cont. Serv.	99901/2013/35	Fraud & Irregularity	In Progress	
Timesheets	Trans. & Cont. Serv.	99901/2013/37	Fraud & Irregularity	Complete	
Windlestone Hall	Planning & Assets	99902/2013/12	Letter of Complaint	Complete	
Alleged unauthorised access to documents	Econ Dev & Housing	99902/2013/14	Fraud & Irregularity	In Progress	
<b>Neighbourhoods</b>					
<b>Work in progress @ 30/06/12</b>					
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	Fieldwork	
Highways Maintenance	Technical Services	25890/2012.bf	Assurance	Preparation	
Repairs and Maintenance (Gas Servicing and Responsive Repairs)	Direct Services - Building and Facilities Maintenance	20011/2012.bf	Assurance	Final Report	Substantial
<b>Audits scheduled from the strategic plan</b>					
Bereavement Services	Direct Services - Streetscene	13003/2013	Assurance	Final Report	Limited
Non Council Services - MOT Arrangements	Direct Services - Fleet	20100/2013/01	Assurance	Final Report	Moderate
Enforcement & Education	Direct Services - Streetscene	13421/2013	Assurance	Fieldwork	
Construction Services and Planned Maintenance Programme	Direct Services - Building and Facilities Maintenance	60720/2013	Assurance	Fieldwork	
Housing Maintenance (Durham City Homes - Planned Maintenance)	Direct Services - Building and Facilities Maintenance	13098/2013	Assurance	Final Report	Full

	Service	Audit Ref	Review Type	Status	Assurance Opinion
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	Fieldwork	
<b>Service Requests</b>					
Stores Management - On site processes for stores management / disposal of waste materials	Technical Services Direct Services	25001/2013	Assurance	Final 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	
County Durham Sport	Sport & Leisure - Indoor Facilities	12211/2013	Grant Certification	Complete	
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	In progress	

<b>Unplanned Work</b>					
School Crossing Patrol - Retainer payment arrangements.	Technical Services	99803/2013/03	Assurance	Final Report	Moderate
NS - QMS	Direct Services - Building and Facilities Maintenance	99806/2013/03	Advice & Consultancy	Complete	

	Service	Audit Ref	Review Type	Status	Assurance Opinion
NS - QMS Second Visit	Direct Services - Building and Facilities Maintenance	99806/2013/04	Advice & Consultancy	Complete	
NS - QMS Third Visit	Direct Services - Building and Facilities Maintenance	99806/2013/07	Advice & Consultancy	Complete	
Cash collection arrangements at outside events	Sport & Leisure - Events Management	99806/2013/05	Advice & Consultancy	Complete	
Competition Line Contract Review	Sport & Leisure	20730/2013	Advice and Consultancy	Complete	
Allegations of collusion with supplier	Direct Services	99901/2012/23	Fraud & Irregularity	In Progress	
Employee continued to be paid after leaving	Direct Services	99901/2012/32	Fraud & Irregularity	Complete	
Employee paid for hours not worked	Technical Services	99901/2012/35	Fraud & Irregularity	Complete	
Allegations of employee using DCC materials for private work	Direct Services	99901/2013/04	Fraud & Irregularity	Complete	
Allegations Regarding the Disposal of Scrap Metal.	Direct Services	99901/2013/09	Fraud & Irregularity	Complete	
Allegation of theft	Direct Services	99901/2013/10	Fraud & Irregularity	Complete	
Theft of Equipment from Council Depot.	Direct Services	99901/2013/13	Fraud & Irregularity	Complete	
DCC Stock Items Being Sold on E-bay.	Direct Services	99901/2013/16	Fraud & Irregularity	Complete	
Allegations of Employee running a Business from work.	Technical Services	99901/2013/23	Fraud & Irregularity	Complete	
Inappropriate Amendment to Job Sheets.	Direct Services	99901/2013/31	Fraud & Irregularity	Complete	
Payroll Irregularities	Technical Services	99901/2013/36	Fraud & Irregularity	Complete	
Allegations of stealing items from work and selling them on e-bay	Direct Services	99901/2013/45	Fraud & Irregularity	Complete	
Allegations of theft	Sport & Leisure - Indoor Facilities	99901/2013/46	Fraud & Irregularity	Complete	
Cash discrepancy	Sport & Leisure - Indoor Facilities	99901/2013/48	Fraud & Irregularity	Complete	
Allegations of collusion	Direct Services	99901/2013/49	Fraud & Irregularity	Complete	
Allegation relating to free/discounted membership	Leisure Services	99902/2012/17	Fraud & Irregularity	Complete	
Allegations of abuse of flexi time.	Environment, Health & Consumer Protection	99902/2012/23	Fraud & Irregularity	Complete	
Accessing Internet During Work Time.	Leisure Services	99902/2013/05	Fraud & Irregularity	Complete	
Accessing Internet During Work Time.	Leisure Services	99902/2013/06	Fraud & Irregularity	Complete	



	Service	Audit Ref	Review Type	Status	Assurance Opinion
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/07	Fraud & Irregularity	Complete	
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/08	Fraud & Irregularity	Complete	
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/09	Fraud & Irregularity	In Progress	
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/10	Fraud & Irregularity	Complete	
Accessing Internet During Work Time.	Projects & Business Services	99902/2013/11	Fraud & Irregularity	Complete	
Unauthorised accessing of client records.	Projects & Business Services	99902/2013/16	Fraud & Irregularity	Complete	
Concerns over excessive personal use of e-mail facilities	Projects & Business Services	99902/2013/18	Fraud & Irregularity	Complete	
Concerns over excessive personal use of e-mail facilities	Projects & Business Services	99902/2013/19	Fraud & Irregularity	Complete	
Concerns over excessive personal use of e-mail facilities	Projects & Business Services	99902/2013/20	Fraud & Irregularity	Complete	
Anonymous allegation regarding inappropriate behaviour	EHCP - Environmental Protection	99902/2013/21	Fraud & Irregularity	Complete	
Concerns over excessive personal use of e-mail facilities	Projects & Business Services	99902/2013/24	Fraud & Irregularity	Complete	
Cash discrepancies	Sport & Leisure - Indoor Facilities	99902/2013/62	Fraud & Irregularity	Complete	
Theft of cash	Sport & Leisure - Indoor	99902/2013/66	Fraud & Irregularity	Complete	
Cash discrepancy	Sport & Leisure - Indoor Facilities	99902/2013/67	Fraud & Irregularity	Complete	
<b>Other Activities</b>					
Annual Audit For Joint Committee - Durham Crematorium including project assurance on new crematorium		13580/2013	Assurance	Final Report	Substantial
Annual Audit For Joint Committee - Mounsett Crematorium		13590/2013	Assurance	Final Report	Substantial
Stanley Bowls Club Annual Accounts	Sports & Leisure	12210/2013	Advice & Consultancy	Complete	N/A
<b>Children and Adults Services</b>					

	Service	Audit Ref	Review Type	Status	Assurance Opinion
<b>Work in progress @ 30/06/12</b>					
Operation of taxi contracts, follow up of work currently being undertaken in this area.	County Wide Services	25895/2013	Advice & Consultancy	In progress	
PAYP	County Wide Services	88805/2012.bf	Assurance	Final Report	Limited
Procurement in Schools	Early Intervention & Partnership Service	70056/2012.bf	Assurance	Final 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	Final Report	Moderate
Public Health Transition Due Diligence	PPP	50075/2013	Advice & Consultancy	Complete	
SSID system review	PPP	58800/2012.bf	Assurance	Final Report	Moderate
<b>Audits deferred from 2011/12</b>					
Planning & Quality Assurance within CYPS and the Children's and Families Trust	Early Intervention & Partnership Service	70050/2013	Assurance	Defer 2013/14	
POPPIE system review	PPP	58802x/2013	Assurance	Defer 2013/14	
<b>Audits scheduled from the strategic plan</b>					
Looked After Children -to perform follow-up on VFM study undertaken by Service	Safeguarding and Specialist Services	78463/2013	Assurance	Fieldwork	
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	Complete	
Learning Support Services	County Wide Services	78462/2013	Assurance	Draft Report	
Durham Schools Continuing Professional Development Partnership	Achievement Services	78474/2013	Assurance	Cancelled	
Safeguarding of Children in Schools	Achievement Services	78475/2013	Assurance	NYS	
<b>School's cyclical audit programme</b>					
Seascape Primary School	Achievement Services	72004/2013	Assurance	Final Report	Moderate

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Sacriston 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
Wellfield School	Achievement Services	74218/2013	Assurance	Final Report	Moderate
Troubled Families Programme	Early Intervention & Partnership Service	00611/2013	Assurance	Defer 2013/14	
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	Fieldwork	
<b>Service Requests</b>					
School Attendance Enforcement	County Wide Services	78453/2013	Advice & Consultancy	Complete	
Award of additional pay in Schools	Achievement Services	78464/2013	Assurance	Final Report	Moderate
School Benevolent Fund	Schools Financial Management	70107/2013	Advice & Consultancy	Final Report	Full
Medium Term Financial Plan - Home to School and College Transport	Financial Management	70068/2013	Assurance	Draft Report	
One Point - Arrangements with the Health Service	Early Intervention & Partnership Service	70245/2013	Assurance	Fieldwork	
Personalisation	Adult Care /Commissioning	50031/2013	Assurance	Cancelled	
Direct Payments	Adult Care /Commissioning	50030/2013	Assurance	Final Report	Limited
Adult Learning	Social Inclusion	50065/2013	Assurance	Defer 2013/14	
<b>Unplanned Work</b>					
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	
Taxi companies claiming for unnecessary journeys	Commissioning	99901/2012/28	Fraud & Irregularity	Complete	

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Allegations of false claim.	Safeguarding & Specialist Services / AWH Adult Care Services	99901/2012/27	Fraud & Irregularity	Complete	
Allegation of theft	Adult Care	99901/2012/37	Fraud & Irregularity	Complete	
Potential financial irregularities	Adult Care	99901/2013/17	Fraud & Irregularity	In Progress	
Theft of cash	Achievement Services	99901/2012/31	Fraud & Irregularity	Complete	
Suspicious of false record keeping.	Adult Care	99901/2013/24	Fraud & Irregularity	Complete	
Theft of laptop	Education	99901/2013/30	Fraud & Irregularity	Complete	
Mileage claim discrepancies	Education	99901/2013/32	Fraud & Irregularity	Complete	
Allegation of fraudulent application for school admission	Education	99901/2013/28	Counter Fraud	Complete	
Allegation of fraudulent application for school admission	Education	99901/2013/29	Counter Fraud	Complete	
Allegation of inappropriate conduct	Education	99901/2013/33	Counter Fraud	Complete	
Allegations of potential fraud and inappropriate management.	Education	99901/2013/40	Counter Fraud	Complete	
Allegations of inappropriate purchasing	Education	99901/2013/43a 99901/2013/43b	Counter Fraud	Complete Complete	
Allegations of Theft.	Education	99901/2013/43c	Counter Fraud	Complete	
Possible Breach of Procurement Rules	Education	99901/2013/47	Counter Fraud	In Progress	
Allegations of misappropriation of private fund.	Education	99901/2013/50	Counter Fraud	Complete	
Allegations of abuse of Flexi system	Early Intervention & Involvement	99902/2013/13	Counter Fraud	Complete	
Amended cheque	Education	99901/2013/51	Counter Fraud	Complete	
Theft of cash	Education	99901/2013/52	Counter Fraud	Complete	
Cash discrepancy	Education	99901/2013/53	Counter Fraud	Complete	
Procurement irregularity	Education	99901/2013/56	Counter Fraud	In Progress	
Potential fraudulent bus pass application	Education	99901/2013/57	Counter Fraud	Complete	
Recording of income and banking irregularities	Education	99901/2013/58	Counter Fraud	Complete	
Potential fraudulent bus pass application	Education	99901/2013/60	Counter Fraud	Complete	
Banking discrepancy	Education	99901/2013/61	Counter Fraud	Complete	
Recording and Banking of Income Irregularities.	Education	99901/2013/63	Counter Fraud		
Allegations of misusing funds	Early Intervention & Involvement	99901/2013/64	Counter Fraud	Complete	

**APPENDIX 4**

	<b>Service</b>	<b>Audit Ref</b>	<b>Review Type</b>	<b>Status</b>	<b>Assurance Opinion</b>
Allowance Claim.	Education	99901/2013/65	Counter Fraud	Complete	
Potential fraudulent application for school admission.	Education	99901/2013/69	Counter Fraud	In Progress	
Potential fraudulent application for school admission.	Education	99901/2013/70	Counter Fraud	In Progress	
Potential fraudulent application for school admission.	Education	99901/2013/71	Counter Fraud	In Progress	
Potential fraudulent application for school admission.	Education	99901/2013/72	Counter Fraud	In Progress	
Potential fraudulent application for school admission.	Education	99901/2013/74	Counter Fraud	Complete	
Potential fraudulent application for school admission.	Education	99901/2013/75	Counter Fraud	In Progress	
Abuse of Flexi Time Arrangements	Early Intervention & Involvement	99902/2013/13	Counter Fraud	Complete	
Data Breach/Unauthorised Disposal of Equipment.	Children's Care	99902/2013/26	Counter Fraud	In Progress	