DURHAM COU	NTY COUNC	IL STRATEGIC I	NTERNAL AUDIT PLAN					AP	PEN	DIX 4	4		
Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	АО	Interim	11/12	12/13	13/14	14/15	15/16
ACE													
Policy & Communications	Policy & Communications	Advice & Consultancy	Value for Money	Ad hoc VFM Support									
	Policy & Planning	Corporate Governance	Policy & Planning	Governance Review							<b>V</b>		
	Communications	Corporate Governance	Corporate Communications	Governance Review					<b>V</b>	<b>√</b>			
				Development of new intranet and internet									
	Corporate Programmes	Corporate Governance	Corporate Programmes	Governance Review					<b>√</b>	V	V	<b>V</b>	<b>V</b>
	Resources - Policy, Planning & Performance	Corporate Governance	Policy & Planning	None - Part of Corporate Review									
Planning & Performance	Performance	Corporate Governance	Performance Management	Governance Review							√		
	Management	Corporate Governance	Data Quality	Rolling programme of risk assessed performance indicators 2009/10 2010/11	<b>√</b>	√	Moderate Substantial		<b>V</b>	V	V	V	V
	Improvement & Planning	Advice and Consultancy	Improvement & Planning	Further development of Corporate Assurance Framework					<b>V</b>				
	Equality, Diversity & Community Cohesion	Corporate Governance	Equality, Diversity & Community Cohesion	Governance review				V					
	Information Management	Corporate Governance	Data Protection	Governance Review					<b>V</b>				
	management		FOI	Compliance Review Governance Review		<b>V</b>	Substantial						<b>V</b>
		Corporate Governance	Environmental Information Requests	Governance Review								<b>V</b>	
			Records Management	Governance Review					<b>V</b>				
		Corporate Governance	Transparency Agenda	Governance Review		<b>V</b>				<b>√</b>		V	
		Advice and Consultancy	Information Governance	Information Governance Group				1	V				
	Research & Consultation	Corporate Governance	Consultation & Area Profiles	Governance Review							V		
Overview & Scrutiny Unit	Overview & Scrutiny Unit	Corporate Governance	Overview and Scrutiny	Governance Review						<b>V</b>			
Civil Contingencies	Civil Emergencies & Emergency Plan	Corporate Governance	Civil Emergencies and Emergency Planning	Business Continuity	<b>V</b>		Substantial	<b>V</b>					
				Civil Contingency Unit				<b>V</b>					

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
				Governance Review								<b>√</b>	
Partnerships & Community Engagement	Area Action Partnerships	Corporate Governance	Area Action Partnerships	Governance Review									<b>V</b>
				Neighbourhood Fund					<b>V</b>				
		-		Members Initiative Fund					<b>V</b>				
Partnerships & Community Engagement	County Durham Partnership	Corporate Governance	Partnerships & Community Engagemen	County Durham Partnership								<b>V</b>	
				Community Engagement						<b>√</b>			
	_			Rolling programme of risk assessed partnerships informed by annual self assessment exercise	,	<b>V</b>		V	<b>V</b>	V	V	V	V
		Advice & Consultancy		Review of Partnership Governance Framework					<b>√</b>				
	Voluntary Third Sector	Corporate Governance	Voluntary Third Sector Support	Community Buildings VFM Support		<b>V</b>					<b>√</b>		
				Community Buildings Funding		√	Moderate						
				Governance Review					<b>V</b>				
	Local Councils (Parish and Town)	Corporate Governance	Local Council Support	Governance Review									<b>√</b>
AWH													
Adult Care	County Durham Care and Support	Operational	County Durham Care (In house service provider)	Governance Review						V			
	Care and Capper		provide: /	Share Lives Placement Scheme		<b>V</b>	Substantial						
				Reablement Services ( C/frwd					<b>V</b>				
				from 2010/11) Extra Care Housing ( C/frwd from 2010/11)									
				Continuing Health Care		<b>V</b>	*Limited						
				Free Nursing Care ( C/frwd from 2010/11)					<b>V</b>				
				Establishment Audits:									
				2009/10	<b>V</b>		Moderate						
				2010/11		<b>√</b>	Substantial			,			
Adult Care	Older People Physical Disability Sensory Impairment Learning Disabilities Mental Health		Assessment & Review of Care Needs	Governance Review						V			

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
Finance	Financial Services	Financial Management	Financial Assessment	Governance Review							<b>V</b>		
				Initial Assessments Re-Assessments	√ √		Moderate Substantial						
				Learning Disability Shared Lives Service - Financial Inspections ( Service request)				V					
Finance	Financial Services	Financial Management	Management of service users finances and property	Governance Review Financial Protection Team	<b>√</b>		Moderate			V			
Finance	Financial Services	Financial Management	Ordering and Requisitioning Accounts payable Petty Cash Expenses and Allowances	AWH P2P Key Controls (Part of Corporate Review)				√		<b>√</b>	<b>V</b>	<b>V</b>	1
				Corporate Review P2P Key Controls		<b>V</b>	Limited						
				Locality Establishment Audits	<b>V</b>		Moderate						
				Expenses and Allowances (Part of Corporate Review)					√				
Finance	Financial Services	Financial Management	Charging Policy	Compliance - assurance to be provided through work on personalisation									
			Collection of Fees and Charges	Compliance with Key Controls	<b>V</b>		Substantial		<b>V</b>		<b>V</b>		
			Payments to Care Providers	Assurance to be provided through Contract Monitoring Reviews					<b>V</b>				
Policy, Planning and Performance	Quality Assurance	Corporate Governance	Project Management Employee training and development Recruitment and Retention	Assurance provided through Corporate reviews:									
			Health & Safety Disciplinary and grievance procedures Quality Assurance System	Payroll ( HR Function - Starter and Leavers) Recruitment and Retention	V		Moderate	√ √ √	√	<b>√</b>	V	<b>V</b>	V
			Quality Assurance System	Health & Safety Compliance with HR Policies				Ž					
			Project Management	Project Assurance									
			Employee training and development	Assurance to be provided through Corporate review									
			Recruitment and Retention	Assurance to be provided through corporate review									
			Health & Safety	Assurance to be provided through Corporate review									

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
			Disciplinary and Grievance Procedures	Assurance to be provided through Corporate review									
			Quality Assurance	Review of source of assurance					<b>V</b>				
Policy, Planning and Performance	Performance and Systems	Corporate Governance	Information Security	Governance Review							<b>√</b>		
				Caldicott Compliance	<b>V</b>		Moderate		<b>V</b>	V	V	V	<b>V</b>
				SSID System Review					<b>V</b>				
				PARIS System Review					<b>V</b>				
				POPPIE System Review					<b>V</b>				
				Supporting People with Oxford Computer Consultants ( SPOCC)		1	Substantial						
				Data Quality PI's		<b>V</b>	Substantial						
				DECHA (Durham Employers Care & Health Alliance)	<b>V</b>		Substantial						
Policy, Planning and Ferformance				DAC ( Durham Assessment Centre)	<b>V</b>		Substantial						
	Policy & Planning	Corporate Governance	Policy, planning and performance	To be covered as part of corporate reviews					<b>√</b>				
			Governance Services	Review of source of assurance									
Social Inclusion Service	Inclusion	Operational	Welfare Rights	Governance Review		<b>V</b>	Substantial						<b>V</b>
Social Inclusion Service		Operational	Gypsies & Travellers	Governance Review							<b>V</b>		
				Income Collection		V	Substantial						
				Unauthorised encampment (Joint review with RED)		1	Moderate						
Social Inclusion Service	Workable Solutions	Operational	Workable Solutions	Governance Review						<b>V</b>			
Social Inclusion Service	Adult Learning Service	Operational	Adult Learning	Governance Review						<b>V</b>			
				Collection of fees for Adult Learning		<b>√</b>	Substantial						
Social Inclusion Service	Community Safety	Operational	Community Safety	Safe Durham Partnership Governance Review									
				( Will be consider as part of corporate review of partnership framework)									
ocial Inclusion Service	Libraries	Operational	Libraries	Governance review							<b>V</b>		
				Durham Learning Resources Centre ( Service Request)				<b>V</b>					
				Establishment Audits									
				2009/10	V		Moderate						
				2010/11		V	Substantial						

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
Social Inclusion Service	Healthier Communities	Operational	Substance Misuse	Governance Review						<b>√</b>			
Social Inclusion Service	Healthier Communities	Operational	Community Engagement	To be considered in corporate governance review									
Social Inclusion Service	Healthier Communities	Operational	Healthier Communities	Learning Disabilities Partnership Board Governance Review (Will consider as part of corporate review of partnership framework)									
	Healthier Communities			Older Adults Partnership Governance Review									
				(Will consider as part of corporate review of partnership framework)									
Social Inclusion Service	Healthier Communities	Operational	Healthy Lifestyles	Governance Review							<b>V</b>		
Commissioning	Learning Disability, Mental Health, Substance Misuse, Supporting People	Operational	Procurement and contract monitoring	Joint Commissioning Governance Reviews: Mental Health Learning Disabilities Supporting People Substance Abuse									
				(Procurement to be considered as part of work planned under corporate procurement)									
Commissioning	Procurement, Contracting and Post Contractual Monitoring across all service areas	Operational	Procurement and contract monitoring	Contract and Post Contractual Monitoring - Governance Review  (Procurement to be considered as part of work planned under					√				
F M a	Older people/ PDSI, Carers	Operational	Procurement and contract monitoring	corporate procurement) Joint Commissioning governance reviews Older People PDSI Carers  (Procurement to be considered as									
				part of work planned under corporate procurement)					,				
Commissioning	Personalisation	Operational	Personalisation	Governance Review					<b>V</b>				
		Advice and Consultancy		Finance and Contributions Sub- Group				<b>V</b>	<b>V</b>				
		Operational		Direct Payments	<b>V</b>	ı	Moderate						

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
Commissioning	Heritage and Culture	Operational	Heritage and Cultural Attractions	Governance Review									V
				Locomotion	$\checkmark$		Moderate						
				Killhope		1	Limited						
Commissioning	Heritage and	Operational	Gala Theatre and Cinema	Small Grants for Arts Governance Review		٧	Moderate				V		
Commissioning	Culture	Ореганопал	Odia Triedire and Omema			1					<b>Y</b>		
				Stage School	1	√	Limited						
				Box Office	٧		Moderate	1					
				Gala Hospitality and Catering ( Service request)				V					
Commissioning	Heritage and Culture	Operational	Events Management	Governance Review Corporate Review - NS lead				1					
CYPS													
Safeguarding and	Safeguarding and	Operational	Assessments and child protection plans	Governance Review							√		
Specialist Services	Specialist Services												
(SaSS)	(SaSS)			(Review of internal assurance processes)									
				External and High Cost Placements		<b>√</b>	Substantial						
Safeguarding and Specialist Services (SaSS)	Safeguarding and Specialist Services (SaSS)	Operational	Looked after children	Governance Reviews:		<b>V</b>				<b>V</b>			
		VFM		Looked after children transport arrangements		<b>V</b>							
		Advice and Consultancy		Tow Law CU		<b>V</b>							
Safeguarding and Specialist Services (SaSS)	Safeguarding and Specialist Services (SaSS)	Operational	Secure Services	Governance Review ( Contract with Youth Justice Board)							V		
()	(2322)	Finance		Aycliffe Secure Unit		<b>V</b>	Limited						
Safeguarding and Specialist Services (SaSS)	Safeguarding and Specialist Services (SaSS)	Operational	Specialist Services	Governance Review						1			
Decialist Services (3):aSS)	(ouco)	Advice and Consultancy		Emergency Duty Team (Service request to review sessional and overtime costs)					<b>V</b>				
pecialist Services SaSS) (	Safeguarding and Specialist Services (SaSS)	Operational	Business and Support Services	Governance Review							<b>V</b>		
County Wide Services	County Wide	Operational	School Admissions	Data Quality Assurance on				V					
	Services			Addresses									
			Missing Children	Data Quality		<b>V</b>	Substantial						
			Home to School Transport	Governance Review	1	1					√		1
				End of Year Contract Hire (RED)		V	Moderate						

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
				School Transport Budget (RED)		<b>V</b>	Limited						
		Advice and Consultancy		Service request to review charging					$\checkmark$				
				arrangements following									
				consultation exercise									
			Alternative Education Provision	Governance Review						<b>√</b>			
			Access Service	Governance Review								<b>V</b>	
				Pupil Referral Unit - Financial		V	Moderate						
				Management									
County Wide Services		Operational	Learning Support Services	Governance Review						$\sqrt{}$			
			Special Educational Needs Placement	Governance Review							√		
			and Provision	1 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2									
			Education Psychology Service	Governance Review	V		Moderate						V
			Education Welfare Service	Governance Review									V
County Wide Services	Positive Activities for Young People	Operational	PAYP (Education in the Community)	Governance Review					<b>V</b>				
Achievement Services	Achievement Services		Education Development Service	Governance Review							<b>V</b>		
		Advice and Consultancy		Review of arrangements in place for tracking contracts (Service Request)					~				
			Durham Schools Continuing Professional Development Partnership	Governance Review						V			
			Education and Business Learning Organisation	Governance Review							<b>V</b>		
			BSF	Programme Assurance				$\checkmark$	$\checkmark$				
			Schools Organisations and Capital	Governance Review							$\checkmark$		
			Programme	(Corporate review of capital programme c/frwd from 2010/11									
			Outdoor Education Service	Governance Review								<b>√</b>	
			School Governors Support Service	Governance review		<b>V</b>	In progress						
			Schools	Academy Transfer Arrangements			. 5		<b>V</b>				
				(provision in Interim Plan for									
				Financial Arrangements only)									
				Governance Review	<del>                                     </del>			V					
				Procurement				,	V				<del>                                     </del>
				Safe Recruitment and Selection					V				
				(service request)					'				
				Safeguarding of Children						<b>√</b>			
				Safeguarding of Assets						•	V		
				Private School Funds					V				

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
County Wide	CDYOS	Operational	Youth Offending Service	Governance Review								<b>V</b>	
		Financial Management		Information Governance Area Office Reviews		√ √	Substantial Substantial						
Achievement Services	14+ Transition	Operational	Connexions	Governance Review							<b>V</b>		
Achievement Services	14+ Transition		14+ Team	Governance Review									<b>V</b>
Achievement Services	Early Years	Operational	Children's services for under 5 year olds and their families  Sure Start	Governance Review  To be considered as part of Integrated Services									
Early Intervention and Partnership Services	Quality, Planning, Performance & Commissioning	Corporate Governance	Planning & Quality Assurance within CYPS and the Children's Trust	Governance Review					V				
Early Intervention and Partnership Services	Quality, Planning, Performance & Commissioning	Corporate Governance	Procurement & Contract Monitoring	Joint Commissioning  ( To be considered as part of planned work on corporate procurement)									
				Contract Monitoring					<b>V</b>				+
Early Intervention and Partnership Services	Quality, Planning, Performance & Commissioning	Corporate Governance	The Children's Trust	Governance Review ( To be considered as part of corporate review of partnership governance arrangements)									
Early Intervention and Partnership Services	Quality, Planning, Performance &	Corporate Governance	Information, Performance & Improvement	Governance Review									
				Data Quality - PI's (Part of corporate review)	V	<b>V</b>	Moderate Substantial						
				Caldicott Compliance					<b>V</b>	<b>√</b>	<b>V</b>	<b>V</b>	<b>V</b>
Early Intervention and Partnership Services	Human Resources	Operational	Supply Teaching Partnership (Staff absence scheme?)	Governance Review  Linked to safe recruitment and selection arrangements within schools					<b>√</b>				
Early Intervention and Partnership Services	Human Resources	Operational	Workforce Planning Health & Safety Recruitment and Selection Sickness monitoring	To be considered as part of Corporate reviews									
Early Intervention and Partnership Services	Human Resources	Advice and Consultancy	Human Resources	Use of Agency Staff (Service Request)					<b>V</b>				
Early Intervention and Partnership Services	Investing In Children	Operational	Investing in Children	Governance Review									<b>√</b>

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/1	5 15/16
Early Intervention and Partnership Services	Investing In Children												
Finance Services	School Funding Team	Financial Management	Management of Grant funding	Dedicated Schools Grant							<b>V</b>		
				Early Intervention Grant					<b>V</b>				
				Pupil Premium Grant					<b>V</b>				
				Devolved Capital Budget								V	
				Standards Fund									
				LSC Funding 16-19 Year Olds			Full						
				Clawback of School Balances		$\checkmark$	Full						
				YPLA - Schools with 6th forms -					$\checkmark$	$\checkmark$	$\checkmark$	$\checkmark$	$\checkmark$
				funding compliance									
		Grant Certification		School Competition Managers									
		Grant Certification		Business Ambassador Programme									
Finance Services	School Funding Team	Financial Management	Schools Financial Management	Schools SLAs					<b>V</b>				
				School Budget Preparation & Monitoring					<b>V</b>				
				S52 and Financial Reporting									
				Free School Meal Entitlement		$\checkmark$	Moderate	V					
				YPLA Funding Compliance				V		<b>V</b>	V	V	V
				Academy Transfer Arrangements				V					
				COL & Extended Services		V	Moderate						
Finance Services	School Meals	Operational	School Catering	Governance Review		٧	Moderate		V				
i manoc ociviocs	Oction Weals	Operational	Conoor Catering	Governance review					`				
		Advice and Consultancy		Accounting for School Meals provided within Secondary Schools		<b>V</b>							
NEIGHBOURH	OOD SERVIC	ES											
Customer Services	Customer Services Operations	-Corporate Governance	Customer Services	Governance Review Incorporating - Call Centre (Cancelled from 2010/11)					V				
Finance, HR and Business Support, including policy,	Business Support	Corporate Governance	Procurement	To be informed by Corporate Review of Procurement									
microsing pensy,		Financial Management	Creditors/P2P	Corporate review of P2P key controls		<b>V</b>	Limited		,		1	1	
			Creditors P2P Purchasing Cards Petty Cash	NS P2P Governance Review ( Time to be allocated from Corporate Review)					√	N	V	٧	N
		Financial Management	Stores	Governance Review						<b>V</b>			
		Financial Management	Payroll	Key Controls (Starter & Leavers) Time to be allocated from Corporate Provision	V		Moderate	<b>V</b>		V	<b>V</b>	<b>V</b>	V

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
		Financial Management	Insurance claims handling	Assurance to be provided through Corporate Review of Insurance Arrangements									
Finance, HR and Business Support, including policy, performance and communications	Policy, performance and communications	Corporate Governance	Policy, Planning and performance management	Assurance to be provided through Corporate Governance Review of Performance Management Arrangements and annual Data Quality (PI) Audits									
	HR	Operational	Health and Safety	Governance Review Work planned 2010/11 cancelled - to be considered as part of corporate review									
		Corporate Governance	Organisational Development and Work Force Planning	Assurance to be provided through Corporate Governance Review of Organisational Development and Workforce Planning									
Finance, HR and Business Support, including policy, performance and	Finance	Financial Management	Finance	Income Collection To be considered as part of corporate review		√	In Progress	V		<b>V</b>	٧	V	<b>V</b>
		Financial Management	Finance	Budgetary Control & Financial Reporting (To be considered as part of corporate review)	٧		Moderate						
Direct Services	Streetscene	Operational	Refuse and recycling services	Governance review					<b>V</b>				
				Trade Waste				<b>V</b>					
		Operational	Bereavement Services	Governance Review						1			
				Annual Audits For Joint Cttes Re Durham and Mounsett Crematorium including project assurance on new crematorium	<b>V</b>	<b>V</b>	Substantial		<b>√</b>	V	<b>V</b>	V	<b>V</b>
		Operational	Clean and Green Services Parks, Grounds Maintenance and street sweeping	Governance Review  Ground Maintenance Partnering Contract Grounds Maintenance Process Mapping  Street Cleansing ( Cancelled from 2010/11 to be incorporated into wider governance review)		√ √	Moderate N/A				٨		

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
		Operational	Enforcement and Education Neighbourhood Wardens	Governance Review To incorporate Anti Social Behaviour (Cancelled from 2010/11)					V				
Direct Services	Fleet Management	Operational	Fleet Management	Governance Review (To incorporate request for process mapping exercise)					1				
		Operational		Fuel stocks and stores		√	Moderate						
Direct Services	Strategic Waste Management	Operational	Waste Management	Governance Review					<b>V</b>				
Direct Services	Building and Facilities Maintenance	Operational Advice and Consultancy	Repairs and Maintenance	Governance Review Help Desk arrangements process mapping Business process mapping		V	N/A	<b>V</b>	<b>V</b>				
		Operational	Catering Service	Governance Review	V								<b>√</b>
		Operational	Construction Services & Planned Maintenance Programme	County all Restaurant Governance Review	,		Moderate			<b>V</b>			
		Operational	Facilities Management	Governance Review					<b>V</b>				
		Operational	Housing Maintenance	Governance Review  Gas servicing  Responsive repairs		√ √	Substantial Substantial			√			
Environment, Health and Consumer Protection	Public Safety	Operational	Licensing and Regulation of Business	Governance Review  EHCP New Back Office System for renewal and raising of licences				1			<b>V</b>		
		Operational	Health and Safety at work	Markets Governance review		٧	Limited					V	
		Operational	Parking Control and Enforcement	Governance Review	<b>√</b>		Substantial			<b>V</b>			
	Health Protection	Operational	Food Safety	Governance Review								<b>√</b>	
		Operational	Animal Health and Welfare	Governance Review									<b>V</b>
		Operational	Infectious disease control	Governance Review				V	<b>V</b>				
	Environmental protection	Operational	Pollution Control	Control of Infectious Diseases Governance Review LAPPC ( cancelled from 2010/11)					<b>V</b>				
		Operational	Public health	Governance Review						<b>V</b>			

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
		Operational	Private Sector housing	Governance Review							<b>V</b>		
		Operational	Fair Trading	Governance Review								<b>V</b>	
				Economic Well Being Consumer Complaints		√	Substantial						
	Safety and metrology	Operational	Safety and metrology	None - service to be withdrawn									
	Scientific Services	Operational	Scientific Services	None - service to be withdrawn									
Sport and Leisure	Sport and Leisure	Operational	Indoor Facilities	Governance Review					<b>V</b>				
				Establishment Audits	V	<b>V</b>	Moderate						
				Management of Gym Memberships					<b>√</b>				
				Safeguarding Assets				<b>V</b>					
				Leisureworks		<b>V</b>	In Progress						
				Leisure Connections		$\checkmark$	In Progress						
		Operational	Sport Development	Governance Review									<b>V</b>
			Events Management	Governance Review (Corporate Review)				V					
		Operational	Play Services	Governance Review							<b>√</b>		
		Operational	Allotments	Governance Review									<b>V</b>
	Countryside	Operational	Countryside	Governance Review								<b>V</b>	
Technical Services	Strategic Highways	Operational	Local Traffic Management	Governance Review						<b>V</b>			
1				Road Safety		$\checkmark$	Substantial						
		Operational	Highway Maintenance	Governance Review (Cancelled from 2010/11)					<b>V</b>				
		Operational	Winter Maintenance	Governance Review							<b>V</b>		
		Operational	Street Lighting	Governance Review (incorporating project Assurance on invest to save scheme)					<b>V</b>				
		Operational	Flooding Mitigation	Governance Review							<b>√</b>		
	Design Services	Operational	Design Services	Governance Review Capital Programme Corporate Review		<b>V</b>	In progress					V	
	Highway Operations	Operational	Highway Operations	Governance Review Capital Programme Corporate Review		V	In progress						<b>V</b>

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
RED													
Planning	Suitability and Clima	a Operational	Suitability and Climate Control	Governance review						V			
Planning	Development Management	Operational	Development Management/Control	Governance Review									
		Advice and Consultancy		New Planning System Development					<b>V</b>				
				Planning applications			Moderate						
Planning	Building Control	Operational	Building Control	Planning S106 Governance Review			Substantial			V			<u> </u>
Flatiling	Building Control	Орегацина	Building Control	Inspection of dangerous structures	<b>√</b>	<b>√</b>	Moderate			V			
Planning	Specialist services	Operational	Conservation, design and archaeology, landscape and ecology	Governance Review							٦	1	
		Strategic	Accommodation Strategy	Project Assurance					<b>V</b>				
			Asset Maangement	Governnace Review					<b>V</b>				
Policy Planning & Performance	Policy Planning & Performance	Corporate Governance	Policy, Planning and Performance	Assurance to be provided through corporate governance reviews of Policy and Planning, Performance Management, and annual data quality audits of Pl's.									
Policy Planning & Performance	Policy Planning & Performance	Operational	Capital Programme	Governance Review  To be considered as part of corporate review		V	In progress						
Economic Development	Economic Development	Operational	Regeneration Funding Management	Governance Review  Corporate Funding Group/Grants Register LEGI & B Franchising		√ √				V			
Economic Development	Economic Development	Operational	Events Management	Part of Cross Cutting Review led by NS									
Economic Development	Economic Development	Operational	Strategic Investments	Governance Review									
Economic Development	Economic Generation	Operational	Economic Regeneration	Governance Review									
Economic Development	Economic Development	Operational	County Durham Development Fund	Governance Review		<b>V</b>	Substantial						
Economic Development	Economic Development	Operational	Business Services	International Exchange Governance Review					<b>√</b>				

Economic Development Economic Development Country Durban (Country Durban)	Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
Development   County Durham   Strategic Housing   Operational   Land and Asset Management   Governance Reviews   V   V   V   V   V   V   V   V   V														
Strategic Housing Strategic Housing Operational Private Sector Housing Governance Review Strategic Housing Strategic Hou	Economic Development		Operational		Governance Review						<b>V</b>			
Strategic Housing Strategic Housing Operation HRA Governance Reviews:    Capital Programme Management	Strategic Housing	Strategic Housing	Operational	Land and Asset Management	Governance Review							V		
Capital Programme Management  Ourham City Homes:  Housing Rents:  N In progress:  N Substantial  NWA Collection  N Substantial  NWA Collection  Now Management  Now Management	Strategic Housing	Strategic Housing	Operational	Private Sector Housing	Governance Review						<b>√</b>			
Durham Dity Homes:	Strategic Housing	Strategic Housing	Operation	HRA										
All Moderate   All					Capital Programme Management									
Allousing Rents   N					Durham City Homes:									
Planned Maintenance Programme   Substantial   N   N   N   N   N   N   N   N   N							V	In progress				<b>V</b>		
NWA Collection   N   Substantial   N   Note than a consultancy   Note that a consultancy   Not						V						<b>V</b>		
Note Administration   Note Administration   Note and consultancy					NWA Collection		V							<b>V</b>
Repairs & Maintenance   N														
Moderate						V		Moderate					V	
ALMO'S Governance Arrangements ALMO'S Housing Rents ALMO'S Housing Rents ALMO'S Housing Rents ALMO'S Housing Rents ALMO'S Housing Subsidy ALMO'S Housing Strategic Housing Operational Supported Housing Governance Review ALMO'S Housing Subsidy ALMO'S Housing Strategic Housing Operational Housing Subtions Governance Review ALMO'S Housing Subsidy ALMO'S Housing Strategic Housing Operational Housing Subtions Governance Review ALMO'S Housing Housing Subsidions ALMO'S Housing Housing Subsidions Governance Review ALMO'S Housing Almo's Housing Subsidions ALMO'S Housing Housing Almo's Housing Subsidions ALMO'S Housing Housing Almo's Housing Subsidions ALMO'S Housing Almo's Housing Subsidions ALMO'S Housing Almo's Housing Almo's Housing Subsidions Almo's Housing Housing Almo's Hous											<b>V</b>			
Arrangements ALMO's Housing Rents ALMO's Housing Rents ALMO's Contract Monitoring Housing Subsidity ALMO's Contract Monitoring Housing Strategic Housing Strategic Housing Operational Supported Housing Governance Review ALMO's Contract					ALMO's Governance	<b>√</b>								
ALMO's Housing Rents ALMO's Contract Monitoring ALMO's Contract Monitoring Housing Subsidy ALMO's Housing Fenancy Risk Asesment ACMO's Housing Fenancy Risk Asesm								Moderate						
ALMO'S Contract Monitoring    Machine   Machin										<b>V</b>				
Strategic Housing Strategic Housing Operational Supported Housing Governance Review Operational Strategic Housing Strategic Housing Strategic Housing Strategic Housing Strategic Housing Operational Housing Solutions Governance Review Operational Housing Solutions Governance Review Operational Housing Solutions Operational Housing Solutions Operational Housing Solutions Operational Housing Solutions Operational Operational Operational Operational Operational Operational Operational Operational Safer Communities Operational Opera										$\checkmark$				
Strategic Housing Strategic Housing Operational Supported Housing Governance Review Operational Strategic Housing Strategic Housing Strategic Housing Strategic Housing Operational Housing Solutions Governance Review Operational Housing Solutions Governance Review Operational Housing Solutions Operational Housing Solutions Operational Housing Solutions Operational Housing Solutions Operational Operational Capital Programme Management (To be considered as part of Corporate Review) Operational Safer Communities Governance Review (CCTV)  Transport Transport Operational Network Management Governance Review (CCTV)  Transport Transport Operational Traffic Management Governance Review On Street Parking ✓ Moderate Visual Moderate Vi											<b>V</b>			
Strategic Housing Strategic Housing Operational Housing Solutions Governance Review Homelessness Strategic Housing Strategic Housing Operational Gypsy and travellers sites Capital Programme Management (To be considered as part of Corporate Review) Strategic Housing Strategic Housing Operational Safer Communities Governance Review (CCTV)  Transport Transport Operational Network Management Governance Review Transport Transport Operational Traffic Management Governance Review Transport Transport Operational Traffic Management Highways works - business process mapping (service request)  Transport Transport Operational Civil Parking Control and Enforcement Governance Review Transport Transport Operational Integrated Transport Unit Governance Review  Transport Transport Operational Integrated Transport Unit Governance Review  VFM  Home to school and social care  V N/A			Counter Fraud		Housing Tenancy Risk Asessment		<b>V</b>							
Strategic Housing Strategic Housing Operational Gypsy and travellers sites Capital Programme Management (To be considered as part of Corporate Review)  Strategic Housing Strategic Housing Operational Safer Communities Governance Review (CCTV)  Transport Transport Operational Network Management Governance Review  Transport Transport Operational Traffic Management Governance Review  On Street Parking Moderate  On Street Parking Moderate  Transport Transport Operational Civil Parking Control and Enforcement Governance Review  Transport Transport Operational Civil Parking Control and Enforcement Governance Review  Transport Transport Operational Integrated Transport Unit Governance Review  Transport Transport Operational Integrated Transport Unit Governance Review  Transport Transport VFM	Strategic Housing	Strategic Housing	Operational	Supported Housing	Governance Review						<b>V</b>			
Strategic Housing Strategic Housing Operational Gypsy and travellers sites Capital Programme Management (To be considered as part of Corporate Review)  Strategic Housing Strategic Housing Operational Safer Communities Governance Review (CCTV)  Transport Transport Operational Network Management Governance Review (CCTV)  Transport Transport Operational Traffic Management Highways works - business process mapping (service request)  Transport Transport Operational Civil Parking Control and Enforcement Governance Review (previously carried out under NS)  Transport Transport Operational Integrated Transport Unit Governance Review (previously carried out under NS)  Transport Transport Operational Integrated Transport Unit Governance Review (previously carried out under NS)	Strategic Housing	Strategic Housing	Operational	Housing Solutions	Governance Review							<b>V</b>		
Strategic Housing   Strategic Housing   Operational   Safer Communities   Governance Review   (CCTV)   CTransport   Transport   Operational   Network Management   Governance Review   Operational   Traffic Management   Governance Review   Operational   Transport   Operational   Traffic Management   Operational   Traffic Management   Operational   Traffic Management   Operational   Operation					Homelessness	$\checkmark$		Limited						ŀ
Strategic Housing Strategic Housing Operational Safer Communities Governance Review (CCTV)  Transport Transport Operational Network Management Governance Review Transport Transport Operational Traffic Management Governance Review Transport Transport Operational Traffic Management Traffic Management Traffic Management Traffic Management Transport Transport Advice and consultancy Traffic Management Highways works - business process mapping (service request)  Transport Transport Operational Civil Parking Control and Enforcement (previously carried out under NS)  Transport Transport Operational Integrated Transport Unit Governance Review  VFM  Home to school and social care   N N/A	Strategic Housing	Strategic Housing	Operational	Gypsy and travellers sites	(To be considered as part of									
Transport Transport Operational Network Management Governance Review Transport Transport Operational Network Management Governance Review Transport Transport Operational Traffic Management Governance Review Public Right of Way On Street Parking Transport Transport Advice and consultancy Traffic Management Highways works - business process mapping (service request)  Transport Transport Operational Civil Parking Control and Enforcement (previously carried out under NS) Transport Transport Operational Integrated Transport Unit Governance Review  VFM Home to school and social care   N N/A					Corporate Review)									
Transport Transport Operational Traffic Management Governance Review Public Right of Way On Street Parking Public Right of Way On Street Parking Public Right of Way On Street Parking On Street Parking On Street Parking  Transport Transport Advice and consultancy Traffic Management Highways works - business process mapping (service request)  Transport Transport Operational Civil Parking Control and Enforcement (previously carried out under NS)  Transport Transport Operational Integrated Transport Unit Governance Review  VFM Home to school and social care  N/A	Strategic Housing	Strategic Housing	Operational	Safer Communities								$\checkmark$		
Public Right of Way On Street Parking  Transport  Operational  Civil Parking Control and Enforcement (previously carried out under NS)  Transport  Transport  Transport  Operational  Integrated Transport Unit  Governance Review (previously carried out under NS)  VFM  Home to school and social care  ✓ N/A	Transport	Transport	Operational		Governance Review								$\sqrt{}$	
Transport   Transport   Advice and consultancy   Traffic Management   Highways works - business process mapping (service request)   V		Transport	Operational	Traffic Management	Governance Review						<b>V</b>			
Transport   Transport   Operational   Civil Parking Control and Enforcement   Governance Review (previously carried out under NS)   √ Substantial   Transport   Transport   Operational   Integrated Transport Unit   Governance Review   √ N/A							$\sqrt{}$							
Covernance Review   Cov	Transport	Transport	Advice and consultancy	Traffic Management					V					
VFM Home to school and social care √ N/A	Fransport	Transport	Operational	Civil Parking Control and Enforcement			<b>√</b>	Substantial					`	
	Transport	Transport	Operational	Integrated Transport Unit	Governance Review							<b>V</b>		
			VFM				<b>V</b>	N/A						
Concessionary Fares √ Substantial					Concessionary Fares		V	Substantial						

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
Transport	Transport	Operational	LTP Capital Programme	To be considered as part of Corporate Review of Capital Programme				V					
Transport	Transport	Operational	Road Safety	Governance Review						<b>√</b>			
RESOURCES													
Legal	Democratic Services	Corporate Governance	Electoral Services	Governance Review							V		
Legal Legal	Democratic Services	Corporate Governance	Committee Services	Governance Review						<b>√</b>			
	Democratic Services	Corporate Governance	Member Support	Governance Review						<b>V</b>		1	
Legal	Democratic Services	Counter Fraud		Members Expenses		<b>V</b>	Moderate						
Legal	Democratic Services	Counter Fraud		Members Declaration of interest/related party transactions				V	V	<b>V</b>	<b>V</b>	<b>V</b>	1
Legal	Democratic Services	Operational	Registrars	Governance Review						<b>V</b>			
Legal	Democratic Services	Operational	Business Support	Assurance to be provided through corporate reviews of HR and Financial Systems									
Legal	Democratic Services	Operational		Post Opening and distribution		<b>V</b>				1			
Legal	Democratic Services	VFM		Business travel and accommodation					1				
Legal	Legal Services	Corporate Governance	Legal Services	Governance Review  Compliance with Laws and Regulations (cancelled from 20101/11)				<b>V</b>					
Legal	Legal Services	Corporate Governance	Legal Services	Land Charges Fees & Income					<b>V</b>			1	+
Legal	Monitoring Officer Role	Corporate Governance	Monitoring Officer Role	Standards Arrangements						<b>V</b>			
Legal		Corporate Governance	Officer Scheme of Delegation	System review	<b>V</b>		Moderate						
		Counter Fraud		Compliance				<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>
Legal		Corporate Governance		Whistle blowing Arrangements					<b>V</b>			+	
Legal		Corporate Governance		Review of Constitution						<b>V</b>		+	+
HR&OD	HR&OD	Corporate Governance	Compliance with Corporate Policies	Flexi Scheme - All services					<b>V</b>			1	+
HR&OD		Counter Fraud		Recruitment and Selection Identify verification				<b>V</b>	V	<b>V</b>	<b>V</b>	<b>√</b>	<b>V</b>
		Corporate Governance		Recruitment and Selection Assurance on key control provided through Payroll HR review of starters and leavers)									
		Corporate Governance		Disciplinary									

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
		Corporate Governance		ER/VR					<b>V</b>		<b>V</b>		<b>√</b>
		Corporate Governance		Flexible Working						$\checkmark$			
		Corporate Governance		Home working		<b>√</b>	Moderate				$\checkmark$		
		Corporate Governance		Sickness Monitoring Joint Scrutiny Review					1				
		Operational		ResourceLink System Review						<b>V</b>			
		Counter Fraud		Declaration of Interests					$\checkmark$		1		<b>V</b>
HR&OD	HR&OD	Corporate Governance	Organisational Development and Workforce Planning	Governance Review							<b>√</b>		
HR&OD	HR&OD	Corporate Governance	Health & Safety	Governance Review (All services)					<b>V</b>				
HR&OD	HR&OD	Corporate Governance	Pay and Conditions (Reward team)	Compliance assurance through Payroll reviews									
HR&OD	HR&OD	Corporate Governance	Occupational Health	Governance Review								<b>√</b>	
Finance	Strategic Finance	Financial Management	Oracle Support and Development	EBS Application Review					1				
		Advice & Consultancy		EBS Workstreams					<b>V</b>				
Finance	Strategic Finance	Financial Management	Statutory Role	General Ledger Key Controls and reconciliations					<b>√</b>			V	
				Opening Balances	<b>V</b>		Moderate						1
				VAT			Limited			V			
				MTFP Preparation and risk management of savings				<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>	<b>√</b>	V
				Budgetary control and financial					<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>
				reporting									
				Grant Funding/Grants Register, Monitoring and certification					<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>	V
				Capital Accounting				<b>√</b>		<b>V</b>		<b>V</b>	
				Journal Transfer Testing				<b>√</b>		<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>
				S151 Compliance Review						<b>V</b>			
		Advcie and Consultancy		Finance Procedures Rules and Financial Management Standards					<b>V</b>				
				District Feeder Systems				V					
				SIMS Oracle Reconciliation				V		V	V	V	V
				SSID Oracle Reconciliation				√		<b>V</b>	1	√	1
				Revs & Bens Reconciliations				V		V	V	V	1
Finance	Strategic Finance	Financial Management	Treasury Management	Governance Review					<b>V</b>	-			
				Bank reconciliation					1	V	1	<b>V</b>	1
				Direct Debit Payments					V		i -		<u> </u>
				Short term Investments Compliance	<b>V</b>	<b>V</b>	Moderate			<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
				Financial Director/On line Banking						<b>V</b>			
				Banking arrangements including	1			1	<b>V</b>	<b>√</b>			
				BACS arrangement									
Finance	Strategic Finance	Financial Management	Insurance	Governance Review					<b>V</b>				
Finance	Financial Resources	Financial Management	Accounts Payable	P2P Business Process				1	1				
				P2P Key Controls		$\sqrt{}$	Limited			√	$\checkmark$	$\checkmark$	$\sqrt{}$
				Petty Cash Usage		$\checkmark$	Moderate						
				Procurement Cards		$\checkmark$	Limited			$\checkmark$	$\checkmark$	$\checkmark$	$\checkmark$
				Corporate Credit Cards		$\checkmark$	Limited						
				Us of debt/credit card terminals					<b>V</b>				
				(Service request)									
		Counter Fraud		Data Integrity ( IDEA Review of payments)				V	<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>	V
		Counter Fraud		Review of Supplier Records				<b>V</b>					
Finance	Financial Resources	Financial Management	Accountancy Services for resources and ACE	Majority covered by other areas of financial management excluding:									
				Car Loan Scheme									V
				SLA's for external clients						<b>√</b>			
				Central Establishment Recharges							<b>√</b>		
Finance	Revenues & Benefits	Financial Management	Housing Benefit Subsidy ( Grant )	Key Control Compliance	V	1	Moderate	<b>V</b>		<b>V</b>	V	<b>V</b>	V
Finance	Revenues & Benefits	Financial Management	NNDR	Governance Review	,	,			<b>V</b>				
				Key Controls Compliance	V	$\sqrt{}$	Moderate						
Finance	Revenues & Benefits	Financial Management	HB and CT Benefit Administration	Governance Review			Moderate		<b>V</b>				
				Key Control Compliance	<b>V</b>	<b>V</b>							
Finance	Revenues & Benefits	Advice and Consultancy	New Revs & Bens System	Project Assurance & testing				<b>√</b>	<b>V</b>				
Finance	Revenues &	Counter Fraud	Prevention and detection of benefit	Governance Review	<del>                                     </del>				V		N		1
глансе	Benefits	Counter Fraud	fraud and error	Key Controls Compliance	V				<b>V</b>		٧		<b>V</b>
				ney Controls Compilance	, v								
Finance	Revenues & Benefits	Financial Management	Council Tax	Governance Review					<b>V</b>	<b>V</b>	V	<b>V</b>	V
	Dellellis			Key Controls Compliance	$\checkmark$	<b>V</b>	Moderate						

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
Benefits Finance Revenu	Revenues & Benefits	Financial Management	Income and System Reconciliations	ICON Cash Receipting and Income Management System					<b>V</b>	<b>V</b>	٧	V	V
				Revenues & Bens Income Reconciliation	<b>√</b>		Substantial						
	Revenues & Benefits	Financial Management	Income and Debt Recovery (C2C Process)	Governance Review		,			<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>	<b>V</b>
				Income from assets Income form on line sales		<b>√</b>	Limited Moderate						
Finance	Payroll and Pensions	Financial Management	Payroll	Governance review					<b>V</b>				
				Key Control Compliance		<b>V</b>	Moderate						
				HR Procedures - Starters and leavers				<b>V</b>		<b>V</b>	1	<b>V</b>	<b>V</b>
				Review of Data using IDEA				<b>V</b>		<b>V</b>	V	<b>V</b>	<b>V</b>
				Taxation/Paye	<b>V</b>		Moderate			<b>V</b>			<b>V</b>
				Resourcelink Online Expenses -					$\checkmark$				
				Project Assurance					,		,	,	,
				Expenses and Allowances					<b>V</b>	√	<b>V</b>	√	<b>V</b>
Finance	Corporate Procurement	Corporate Governance	Procurement	Governance review					<b>V</b>				
		Advcie and Consultancy		Strategic Procurement Network					<b>√</b>				
		Advice and Consultancy		E Code of Practice Development				,	√				
		Corporate governance		Exemptions and Variations Compliance				٧					
		Corporate Governance		Quotation System Compliance					<b>√</b>		<b>V</b>		<b>V</b>
				Tendering System Compliance					√			√	
		VFM		Contract Register review					$\checkmark$	√	V	<b>V</b>	V
				(including an analysis of Council									
				spend as a means of ensuring									
				completeness of register and potential for VFM/efficieny savings)									
		Counter fraud		Analysis of Award of Contracts					V		V		V
		IT IT		E-Tendering					,	<b>√</b>	<u>'</u>		<u> </u>
ICT	ICT Support	IT	ICT Support	Governance Review						√			
				Asset Management (Service request)					<b>V</b>				
				Identify Management (Service Request)					<b>V</b>				
ICT	Applications and	IT	Applications and Developments	Governance Review					V				
	Developments		Applications and Developments	(Service Request)									
				Change Control	$\checkmark$		Moderate						

Service Grouping	Service	Audit Type	Audit Area	Audit	09/10	10/11	AO	Interim	11/12	12/13	13/14	14/15	15/16
ICT	Business Developments	IT	Business Developments	Governance Reviews:									
				Standards Compliance Service					<b>√</b>				
				Request)									
				ISP Compliance Reviews				<b>√</b>					
				(ISO27001):									
				HR Arrangements					√				
				Asset Control					√				
				Comms Operational Management					V				
				Logical Access Control					V				
				Networking					<b>√</b>				
				Physical Security									
				Forensic Readiness	$\sqrt{}$		Limited						
				Security Incident Management	$\sqrt{}$		Limited						
				Systems Dev & Mtce	$\checkmark$		Limited						
				Warranty	$\sqrt{}$		Limited						
				Acceptable Use Policy			None						
				ICT BCP		<b>V</b>	None						
				Personal IS Policy		V	Limited						
				Organisational Arrangements		<b>V</b>	Moderate						
ICT	Business Support	IT	Business Support	Governance Review						√			
		IT		Software Licenses Compliance		V	Limited						
		Corporate governance		ICT Purchasing									
		Financial Management		ICT Charges									
		IT		ICT Strategy		V	Substantial						
ICT	Technical Services	IT	Technical Services	Governance Review									
				Unix Security	$\sqrt{}$		Moderate						
				Infrastructure/Network									
				Management									
				Oracle Database review									
				Windows security									
				Internet Security	<b>V</b>		Substantial						
				Backups		,							
				Mobile Computing		<b>V</b>	Substantial						
				SQL server			Moderate						
				Code of Connection	1	√	Moderate		,				
				Business Continuity for ICT	٧		Limited		V				
				Next Generation Broadband /					V				
				Digital Durham	-								
ICT	Donien 9 Driet	Operational	Decian & Drint Comises	(Service requests) Governance Review	1				V				
ICT	Design & Print	Operational	Design & Print Services						٧				
ICT	Education Services	IT	School Services	(Service request) Governance Review						V			
	Luucalion Services		School Services							٧			
				ITSS	$\sqrt{}$		Substantial						