

## DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 1 JULY 2013 TO 30 JUNE 2014

AUDIT TITLE	Audit Ref	CORPORATE DIRECTION	SERVICE	TYPE	STATUS	OPINION
<b>AUDITS BROUGHT FORWARD FROM 2012 / 2013 AS WORK IN PROGRESS</b>						
AAP Information Governance	11000/2012/03 bf	Assistant Chief Executive (ACE)	Parts and Comm Eng.	Assurance Review	Final Report	Moderate Assurance
Data Quality - Rolling Programme of Pls	11080/2013 bf	Assistant Chief Executive (ACE)	Planning & Perf	Assurance Review	Final Report	Moderate Assurance
Development of Intranet	11005/2012/02 bf	Assistant Chief Executive (ACE)	Policy & Comms	Assurance Review	In Progress	
Internet Development (Corporate Comms)	11017/2013/01 bf	Assistant Chief Executive (ACE)	Policy & Comms	Advice & Consultancy	In Progress	
Business Continuity Project Support	11001/2013 bf	Assistant Chief Executive (ACE)	Policy & Comms	Advice & Consultancy	In Progress	
Looked After Children - to perform follow-up on VFM study undertaken by Service	78463/2013 bf	Children and Adult Services (CAS)	Children's Care	Advice & Consultancy	In Progress	
Educational Support Services	78462/2013 bf	Children and Adult Services (CAS)	Education	Assurance Review	Final Report	Moderate Assurance
Caldicott Compliance	58809/2013 bf	Children and Adult Services (CAS)	Planning & Service Strategy	Assurance Review	Final Report	Moderate Assurance
One Point - Arrangements with the Health Service	70245/2013 bf	Children and Adult Services (CAS)	Early Intervention & Involvement	Assurance Review	Final Report	Moderate Assurance
Control Risk Self Assessment in Schools	70070/2013 bf	Children and Adult Services (CAS)	Education	Advice & Consultancy	Final Report	N/A
Pollution Control	12265/2012 bf	Neighbourhood Services (NS)	EHCP - Environmental Protection	Assurance Review	Final Report	Moderate Assurance
Enforcement & Education	13421/2013 bf	Neighbourhood Services (NS)	Direct Services - Streetscene	Assurance Review	Final Report	Moderate Assurance
Construction Services and Planned Maintenance Programme	60720/2013 bf	Neighbourhood Services (NS)	Direct Services - Building and Facilities	Assurance Review	Final Report	Moderate Assurance
Trade Waste - Systems testing	22010/2013/01 bf	Neighbourhood Services (NS)	Direct Services - Streetscene	Assurance Review	Final Report	Limited Assurance
Highways Maintenance Self Assessment	25890/2012 bf	Neighbourhood Services (NS)	Technical Services	Assurance Review	Final Report	Moderate Assurance
MTFP Savings - Use of Council vehicles for home to work journey	20100/2013/02 bf	Neighbourhood Services (NS)	Direct Services - County Fleet	Advice & Consultancy	In Progress	
Business Durham	13561/2013 bf	Regeneration & Economic Development (RED)	Econ. Dev. & Housing	Assurance Review	Final Report	Moderate Assurance
Private Sector Housing	13562/2013 bf	Regeneration & Economic Development (RED)	Econ. Dev. & Housing	Assurance Review	Draft Report	Full Assurance
Housing Tenancies/Lettings	00820/2013 bf	Regeneration & Economic Development (RED)	Econ. Dev. & Housing	Assurance Review	Final Report	Substantial Assurance
Project Genesis	26045/2013 bf	Regeneration & Economic Development (RED)	Strat. Progs & Perf.	Advice & Consultancy	Final Report	N/A
Taxi contracts follow up	25895/2013 bf	Regeneration & Economic Development (RED)	Transport & Contract Services	Advice & Consultancy	Final Report	N/A
Income & Debt Recovery	10400/2013 bf	Resources	Finance Services	Assurance Review	Final Report	Moderate Assurance
Procurement Cards	10925/2013 bf	Resources	Finance Services	Assurance Review	Final Report	Moderate Assurance
Flexible working and contract variations	11021/2013 bf	Resources	Human Resources	Assurance Review	Final Report	N/A
Internet Security	98012/2013 bf	Resources	ICT	Assurance Review	Final Report	Limited Assurance
Income and Expenditure Project	98114/2013 bf	Resources	ICT	Assurance Review	Final Report	Moderate Assurance
Petty Cash Usage	10928/2013 bf	Resources	Corporate Finance	Assurance Review	Final Report	Moderate Assurance
Corporate Governance - Litigation Database	66530/2013 bf	Resources	Legal & Democratic	Assurance Review	Final Report	Moderate Assurance
Unix review	98004/2013 bf	Resources	ICT	Assurance Review	Final Report	Moderate Assurance
Invoice scanning and indexing	10465/2013 bf	Resources	Finance Services	Advice & Consultancy	Final Report	N/A
ICON v11 project	10460/2013/01 bf	Resources	Finance Services	Advice & Consultancy	Final Report	N/A
Cash Security	99900/2013/03 bf	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Payroll IDEA	99900/2013/04 bf	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Payroll timesheets	99900/2013/05 bf	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Payroll overtime	99900/2013/06 bf	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Payroll starters & leavers	99900/2013/07 bf	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Payroll expenses & allowances	99900/2013/08 bf	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Award of Contracts	99900/2012/05 bf	All Directorates	All Services	Proactive Fraud	Final Report	N/A
<b>AUDITS THAT WERE DEFERRED FROM 2012 / 2013 AUDIT PLAN</b>						
Data Protection - Data Access	11018/2013/02 bf	Assistant Chief Executive (ACE)	Planning & Perf	Assurance Review	ToR Issued	
Specialist Services - to focus upon Prevention and Early Intervention	78473/2013 bf	Children and Adult Services (CAS)	Children's Care	Assurance Review	Preparation	
Safeguarding of Children in Schools - consideration will be given to other third party	78475/2013 bf	Children and Adult Services (CAS)	Education / Children's Care	Assurance Review	In Progress	
County Durham Children and Families Trust	70050/2014	Children and Adult Services (CAS)	Early Intervention & Involvement	Assurance Review	Preparation	
POPPIE system review	58802/2014	Children and Adult Services (CAS)	Planning & Service Strategy	Assurance Review	Draft Report	Moderate Assurance
Adult Learning and Skills Service	50065/2014/05	Children and Adult Services (CAS)	Education	Advice & Consultancy	Final Report	N/A
Markets	13350/2014	Neighbourhood Services (NS)	EHCP - Consumer Protection	Assurance Review	Deferred	N/A
Visit County Durham	14615/2014	Regeneration & Economic Development (RED)	Econ. Dev. & Housing	Assurance Review	Final Report	Full Assurance
Mystery Shopping (Planning applications)	26040/2014	Regeneration & Economic Development (RED)	Planning & Assets	Advice & Consultancy	Cancelled	N/A
PCI Compliance	10417/2014	Resources	Finance Services	Assurance Review	Final Report	Limited Assurance

## DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 1 JULY 2013 TO 30 JUNE 2014

AUDIT TITLE	Audit Ref	CORPORATE DIRECTION	SERVICE	TYPE	STATUS	OPINION
<b>AUDITS SCHEDULED FROM THE STRATEGIC AUDIT PLAN 2013 / 2014</b>						
Development of Joint Working Methodology on Corporate Programmes (Trans Change)	11060/2014	Assistant Chief Executive (ACE)	Policy & Comms	Advice & Consultancy	In Progress	
Data Quality - Rolling programme of Pls	11080/2014	Assistant Chief Executive (ACE)	Planning & Perf	Assurance Review	Final Report	Moderate Assurance
Data Protection - Rolling programme of reviews	11018/2014	Assistant Chief Executive (ACE)	Planning & Perf	Assurance Review	Preparation	
Information Governance Group	11010/2014	Assistant Chief Executive (ACE)	Planning & Perf	Advice & Consultancy	In Progress	
Partnerships - Rolling programme of reviews	11000/2014	Assistant Chief Executive (ACE)	Parts and Comm Eng.	Assurance Review	ToR Issued	
Secure Services - Contract with Youth Justice Board	78469/2014	Children and Adult Services (CAS)	Children's Care	Assurance Review	Preparation	
SEN Placement and Provision	78466/2014	Children and Adult Services (CAS)	Education	Assurance Review	Not Started	
Schools Organisations and Capital Programme	70501/2014	Children and Adult Services (CAS)	Education	Assurance Review	Not Started	
School's SLA funded Audit Programme 5 Nursery Schools 37 Primary Schools 3 Secondary Schools 5 Special Schools	Various	Children and Adult Services (CAS)	Education	Assurance Review	In Progress 21 Final Report	13 Substantial Assurance Moderate Assurance Limited Assurance
Troubled Families Programme	00611/2014	Children and Adult Services (CAS)	Children's Care	Assurance Review	Preparation	
Troubled Families Programme Quarter 1 Quarter 2 Quarter 3 Quarter 4	00611/2014/01 00611/2014/02 00611/2014/03 00611/2014/04	Children and Adult Services (CAS)	Children's Care	Grant Certification	Complete Complete Complete In progress	
Calcott Compliance	58809/2014	Children and Adult Services (CAS)	Planning and Service Strategy	Assurance Review	In Progress	
Health and Well Being Board	58105/2014	Children and Adult Services (CAS)	Planning and Service Strategy	Assurance Review	Cancelled	N/A
Strategic Waste Management	22001/2014	Neighbourhood Services (NS)	Projects and Business Services	Assurance Review	Draft Report	Full Assurance
Clean and Green Services - Housing Association Contracts	13124/2014	Neighbourhood Services (NS)	Direct Services - Streetscene	Assurance Review	Draft Report	Moderate Assurance
Building Compliance Assurance	25820/2014	Neighbourhood Services (NS)	Direct Services - Building and Facilities	Assurance Review	Not Started	
Inspection of Licensing - Taxis	13054/2014/01	Neighbourhood Services (NS)	EHCP - Public Safety	Assurance Review	Final Report	Substantial Assurance
Inspection of Licensing - Premises Requiring Alcohol License	13054/2014/02	Neighbourhood Services (NS)	EHCP - Public Safety	Assurance Review	Final Report	Substantial Assurance
Private Sector Housing - Complaints	13031/2014	Neighbourhood Services (NS)	EHCP - Environmental protection	Assurance Review	Preparation	
Winter Maintenance	25900/2014	Neighbourhood Services (NS)	Technical Services - Strategic Highways	Assurance Review	In Progress	
Gala - Stage School	14902/2014	Neighbourhood Services (NS)	Sport and Leisure	Assurance Review	Final Report	Moderate Assurance
Gala - Box Office	14901/2014	Neighbourhood Services (NS)	Sport and Leisure	Assurance Review	Final Report	Moderate Assurance
Stanley Bowls	12210/2014	Neighbourhood Services (NS)	Sport and Leisure	Advice & Consultancy	Preparation	
Ad hoc grant certification work	00601/2014	Regeneration & Economic Development (RED)	Strat, Progs & Perf.	Grant Certification	In Progress	
Planning System (Attendance at Steering Group)	26035/2014	Regeneration & Economic Development (RED)	Planning & Assets	Advice & Consultancy	In Progress	
Planning System	26030/2014	Regeneration & Economic Development (RED)	Planning & Assets	Assurance Review	Deferred	N/A
Building Control (Potential focus on 'Safety at Sports Grounds')	13093/2014	Regeneration & Economic Development (RED)	Planning & Assets	Assurance Review	Final Report	Substantial Assurance
Asset Management (Focus on disposal arrangements)	13551/2014	Regeneration & Economic Development (RED)	Planning & Assets	Assurance Review	Final Report	Moderate Assurance
Durham City Homes - Housing Rents	00800/2014	Regeneration & Economic Development (RED)	Econ. Dev. & Housing	Assurance Review	Final Report	Moderate Assurance
ALMOs Housing Rents	00805/2014	Regeneration & Economic Development (RED)	Econ. Dev. & Housing	Assurance Review	Cancelled	N/A
Civil Parking, Park and Ride, Off Street Parking (Potentially to focus on income)	25830/2014	Regeneration & Economic Development (RED)	Transport & Contract Services	Assurance Review	Final Report	Moderate Assurance
Sustainable Transport	25804/2014	Regeneration & Economic Development (RED)	Transport & Contract Services	Assurance Review	Not Started	
Supported Housing - CCTV	13025/2014	Regeneration & Economic Development (RED)	Transport & Contract Services	Assurance Review	Not Started	
Electoral Services	10940/2014	Resources	Legal & Democratic	Assurance Review	Not Started	
Electoral Services - verification of expenses	10940/2014/01	Resources	Legal & Democratic	Advice & Consultancy	Final Report	N/A
Homeworking	98024/2014	Resources	HR&OD	Assurance Review	Draft Report	Moderate Assurance
Payroll - Governance and Key controls	10210/2014	Resources	HR&OD	Assurance Review	Not Started	
GL - Key controls and reconciliations	10609/2014	Resources	Corporate Finance	Assurance Review	Not Started	
MTFP (also need to liaise with ACE)	10801/2014	Resources	Corporate Finance	Assurance Review	Final Report	Substantial Assurance
Journal Transfers	10606/2014	Resources	Corporate Finance	Assurance Review	In Progress	
Bank Reconciliations	10602/2014	Resources	Corporate Finance	Assurance Review	Final Report	Substantial Assurance
Short Term Investments	10500/2014	Resources	Corporate Finance	Assurance Review	Final Report	Substantial Assurance
Quotation System	11052/2014	Resources	Corporate Finance	Assurance Review	Cancelled	N/A
Tendering System	11053/2014	Resources	Corporate Finance	Assurance Review	In Progress	
Capital Accounting	10000/2014	Resources	Corporate Finance	Assurance Review	In Progress	
Central Establishment Recharges	10651/2014	Resources	Finance Services	Assurance Review	In Progress	
Revs & Bens reconciliations	00720/2014	Resources	Finance Services	Assurance Review	Final Report	Substantial Assurance

## DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 1 JULY 2013 TO 30 JUNE 2014

AUDIT TITLE	Audit Ref	CORPORATE DIRECTION	SERVICE	TYPE	STATUS	OPINION
P2P Key Controls (include procurement cards)	10150/2014	Resources	Finance Services	Assurance Review	Not Started	
Housing Benefit (HB) and Council Tax Reduction (CTR) admin (incl. HB Subsidy and DHP)	00700/2014	Resources	Finance Services	Assurance Review	Final Report	Moderate Assurance
Welfare Assistance Scheme	00725/2014	Resources	Finance Services	Assurance Review	Final Report	Limited Assurance
NNDR	00550/2014	Resources	Finance Services	Assurance Review	Final Report	Moderate Assurance
Council Tax	00500/2014	Resources	Finance Services	Assurance Review	Final Report	Moderate Assurance
Cash Collection	10460/2014	Resources	Finance Services	Assurance Review	Preparation	
Debtors	10400/2014	Resources	Finance Services	Assurance Review	In Progress	
Information Security Policies - Part 1	98103/2014/01	Resources	ICT	Assurance Review	TOR Issued	
Information Security Policies - Part 2	98103/2014/02	Resources	ICT	Assurance Review	TOR Issued	
Information Security Policies - Part 3	98103/2014/03	Resources	ICT	Assurance Review	TOR Issued	
Infrastructure/Networks	98005/2014	Resources	ICT	Assurance Review	Not Started	
Mobile Computing	98025/2014	Resources	ICT	Assurance Review	Draft Report	Moderate Assurance
SQL Server	98034/2014	Resources	ICT	Assurance Review	Not Started	
Software Licenses	98110/2014	Resources	ICT	Assurance Review	In Progress	
ICT Purchasing	98100/2014	Resources	ICT	Assurance Review	In Progress	
RIPA Working Group	11011/2014	Resources	Legal & Democratic	Advice & Consultancy	In Progress	
Strategic Procurement Network	11057/2014	Resources	Corporate Finance	Advice & Consultancy	Cancelled	N/A
Digital Durham	98112/2014	Resources	ICT	Advice & Consultancy	In Progress	
Declarations of Interest - Members	99900/2014/01a	All Directorates	All Services	Proactive Fraud	Draft Report	N/A
Declarations of Interest - Schools	99900/2014/01b	All Directorates	All Services	Proactive Fraud	In Progress	
Declarations of Interest - Employees	99900/2014/01	All Directorates	All Services	Proactive Fraud	In Progress	
Grants Payable	99900/2014/02	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Housing Tenancy	99900/2014/03	All Directorates	All Services	Proactive Fraud	Not Started	
Creditor Payments (IDEA) - Q1	99900/2014/04a	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Creditor Payments (IDEA) - Q2	99900/2014/04b	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Creditor Payments (IDEA) - Q3	99900/2014/04c	All Directorates	All Services	Proactive Fraud	Final Report	N/A
Creditor Payments (IDEA) - Q4	99900/2014/04d	All Directorates	All Services	Proactive Fraud	Cancelled	N/A

## DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 1 JULY 2013 TO 30 JUNE 2014

AUDIT TITLE	Audit Ref	CORPORATE DIRECTION	SERVICE	TYPE	STATUS	OPINION
Personal Budgets	99900/2014/05	All Directorates	All Services	Proactive Fraud	Not Started	
Procurement	99900/2014/06	All Directorates	All Services	Proactive Fraud	Not Started	
NFI	99903/2014	All Directorates	All Services	Proactive Fraud	In Progress	
Ethical Culture	66530/2014	All Directorates	All Services	Corporate Governance	Not Started	
<b>AUDITS / REVIEWS COMPLETED AT SERVICE REQUEST</b>						
AAPs - Performance Management Framework	11025/2014	Assistant Chief Executive (ACE)	Parts and Comm Eng.	Advice & Consultancy	ToR Issued	
Participatory Budgets Model	11027/2014	Assistant Chief Executive (ACE)	Parts and Comm Eng.	Advice & Consultancy	In Progress	
Community Buildings	11019/2014	Assistant Chief Executive (ACE)	Parts and Comm Eng.	Advice & Consultancy	In Progress	
Review of Supported Housing linked to Staff Houses	50215/2014	Children and Adult Services (CAS)	Adult Care	Assurance Review	Draft Report	Moderate Assurance
School Benevolent Fund - Annual Audit of Financial Statements	70107/2014	Children and Adult Services (CAS)	Children's Care	Advice & Consultancy	Cancelled	N/A
Gypsies & Travellers Un-authorised Encampments	66630/2014	Children and Adult Services (CAS)	Early Intervention & Involvement	Advice & Consultancy	Cancelled	N/A
Youth Offending Service Financial Management arrangements	85819/2014	Children and Adult Services (CAS)	Early Intervention & Involvement	Advice & Consultancy	Draft Report	N/A
Domestic Abuse Forum Executive Group (Partnership Governance Framework Review)	58100/2013 bf	Children and Adult Services (CAS)	Early Intervention & Involvement	Assurance Review	Draft Report	Moderate Assurance
High Needs Students	70219/2014	Children and Adult Services (CAS)	Education	Advice & Consultancy	Final Report	N/A
Blue Badge Scheme	50180/2014	Children and Adult Services (CAS)	Planning and Service Strategy	Assurance Review	Draft Report	Substantial Assurance
Capita One	70227/2014	Children and Adult Services (CAS)	Planning and Service Strategy	Assurance Review	Final Report	Moderate Assurance
Tees, Esk & Wear Valley (TEWV) NHS Trusts Partnerships		Children and Adult Services (CAS)	Planning and Service Strategy	Assurance Review	Final Report	N/A
Stop Smoking Service - Nicotine Replacement Therapy Voucher Scheme	50216/2014	Children and Adult Services (CAS)	Public Health	Assurance Review	Final Report	Limited Assurance
Support to the Director of Public Health on providing assurance on Health Protection	50217/2014	Children and Adult Services (CAS)	Public Health	Assurance Review	Preparation	
Environment Partnership (Support in developing the Performance Management Framework)	11000/2014/02	Neighbourhood Services (NS)	Customer Relations, Policy & Performance	Advice & Consultancy	Preparation	
QMS (Quarterly Visit)						
Quarter 1	13125/2014/01	Neighbourhood Services (NS)	Direct Services - Building and Facilities Maintenance	Assurance Review	Final Report	N/A
Quarter 2	13125/2014/02				Final Report	
Quarter 3	13125/2014/03				ToR Issued	
Quarter 4	13125/2014/04				ToR Issued	
Integrated Leisure Management System	13057/2014	Neighbourhood Services (NS)	Sport and Leisure	Advice & Consultancy	In Progress	
CLUK Income Share Agreement	20730/2014	Neighbourhood Services (NS)	Sport and Leisure	Grant Certification	Final Report	N/A
County Durham Sport	12211x/2013 bf	Neighbourhood Services (NS)	Sport and Leisure	Grant Certification	Final Report	N/A
Carbon Reduction Commitment	64050/2014	Regeneration & Economic Development (RED)	Planning & Assets	Assurance Review	Final Report	Substantial Assurance
Community Infrastructure Levy (CIL)	26031/2014	Regeneration & Economic Development (RED)	Planning & Assets	Advice & Consultancy	Not Started	
Appraisals	11022/2014	Resources	HR&OD	Assurance Review	ToR Issued	
Attendance Management Framework	64446/2014	Resources	HR&OD	Assurance Review	Deferred	N/A
Comensura (request from CAS)	11023/2014	Resources	HR&OD	Assurance Review	In Progress	
S17 payments - Safeguarding welfare of children	70071/2014	Resources	Finance Services	Assurance Review	Final Report	Substantial Assurance
Public Health (Financial arrangements)	50076/2014	Resources	Finance Services	Assurance Review	Final Report	Substantial Assurance
School Financial Performance Management (Part 1 & 2)	70072/2014/01 70072/2014/02	Resources	Finance Services	Assurance Review	In Progress Not Started	
<b>UNPLANNED WORK</b>						
Direct Payments	50030/2014	Children and Adult Services (CAS)	Commissioning	Assurance Review	ToR Issued	
Out of Hours Safeguarding arrangements in Secure Services	53401/2014	Children and Adult Services (CAS)	Children's Care	Assurance Review	Draft Report	Substantial Assurance
Mobile Box Office Grant	14901/2014/02	Neighbourhood Services (NS)	Sport and Leisure	Advice & Consultancy	In Progress	
Events Management	13430/2014	Neighbourhood Services (NS)	EHCP/Sport and Leisure	Assurance Review	In Progress	
Gala - Variation Order	14901/2014/01	Neighbourhood Services (NS)	Sport and Leisure	Assurance Review	Final Report	Moderate Assurance
Spennymoor Gymnastic Club Inventory	13064/2014	Neighbourhood Services (NS)	Sport and Leisure	Advice & Consultancy	Final Report	N/A
Disposal of Fixings and Equipment	14901/2014/01	Neighbourhood Services (NS)	Direct Services	Advice & Consultancy	Final Report	N/A
Empty Homes Loans Fund	00612/2014	Regeneration & Economic Development (RED)	Econ Dev & Housing	Assurance Review	Preparation	
Proposal to merge Durham and Sunderland ICT	98190/2014	Resources	ICT	Advice & Consultancy	Cancelled	N/A
Cost of transactions	00721/2014	Resources	Finance Services	Advice & Consultancy	Final Report	N/A
BACS	10115/2014	Resources	Finance Services	Advice & Consultancy	Final Report	N/A
Banking Contract	10907/2014	Resources	Corporate Finance	Advice & Consultancy	In Progress	

## DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 1 JULY 2013 TO 30 JUNE 2014

AUDIT TITLE	Audit Ref	CORPORATE DIRECTION	SERVICE	TYPE	STATUS	OPINION
Teachers Pension Fund	10318/2014	Resources	HR&OD	Advice & Consultancy	Final Report	N/A
Invoice Payment Improvement Group	10160/2014	Resources	Finance Services	Advice & Consultancy	In Progress	
Debtors Working Group	10418/2014	Resources	Finance Services	Advice & Consultancy	In Progress	
PCI Compliance Group	10419/2014	Resources	Finance Services	Advice & Consultancy	In Progress	
Employees Paid via Accounts Payable	99900/2014/07	All Directorates	All Services	Proactive Fraud	In Progress	
<b>FRAUD / INVESTIGATIONS</b>						
Procurement Rules	99901/2013/47	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	Complete	N/A
Procurement of Adult Learning Contracts	99901/2013/56	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
School Admission Application	99901/2013/69	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
School Admission Application	99901/2013/70	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
School Admission Application	99901/2013/71	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
School Admission Application	99901/2013/72	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
School Admission Application	99901/2013/75	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
Data control and disposal of equipment.	99902/2013/26	Children and Adult Services (CAS)	Children's Care	Fraud / Investigations	Complete	N/A
School Admission Application	99901/2014/02	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
Theft of money	99901/2014/03	Children and Adult Services (CAS)	Adult Care	Fraud / Investigations	Complete	N/A
Missing money	99901/2014/10	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
Missing money	99901/2014/11	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	Complete	N/A
Cash discrepancies	99901/2014/14	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
Internet Misuse	99901/2014/17	Children and Adult Services (CAS)	Adult Care	Fraud / Investigations	Complete	N/A
Home to School Transport Application	99901/2014/18	Children and Adult Services (CAS)	Education	Fraud / Investigations	Complete	N/A
Car Mileage	99901/2014/20	Children and Adult Services (CAS)	Children's Care	Fraud / Investigations	Complete	N/A
Missing monies	99901/2014/23	Children and Adult Services (CAS)	Adult Care	Fraud / Investigations	Complete	N/A
Alleged income discrepancy	99901/2014/25	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	Complete	N/A
False invoices	99901/2014/27	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	Complete	N/A
School banking discrepancy	99901/2014/28	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	Complete	N/A
Employment	99901/2014/29	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	In Progress	
Employee Timesheet	99901/2014/32	Children and Adult Services (CAS)	Commissioning	Fraud / Investigations	Complete	N/A
Missing money	99901/2014/33	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	In Progress	
Theft of money	99901/2014/34	Children and Adult Services (CAS)	Adult Care	Fraud / Investigations	Complete	N/A
Service Users Property	99901/2014/37	Children and Adult Services (CAS)	Adult Care	Fraud / Investigations	Complete	N/A
Missing money	99901/2014/38	Children and Adult Services (CAS)	Children's Care	Fraud / Investigations	Complete	N/A
Private school fund money irregularity	99901/2014/39	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	Complete	N/A
Private school fund money irregularity	99901/2014/40	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	In Progress	
Missing money	99901/2014/45	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	In Progress	
School banking discrepancy	99901/2014/47	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	Complete	N/A
Cash discrepancies	99901/2014/48	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	In Progress	
Theft of money	99901/2014/51	Children and Adult Services (CAS)	Adult Care	Fraud / Investigations	Complete	N/A
Breach of Procurement Rules	99901/2014/52	Children and Adult Services (CAS)	Public Health	Fraud / Investigations	In Progress	
Cash discrepancies	99901/2014/54	Children and Adult Services (CAS)	Education - Schools	Fraud / Investigations	Complete	N/A
Employee Timesheet	99901/2014/58	Children and Adult Services (CAS)	Children's Care	Fraud / Investigations	In Progress	
Care Assessment	99901/2014/59	Children and Adult Services (CAS)	Children's Care / Commissioning	Fraud / Investigations	Complete	N/A
Employee Timesheet	99901/2014/60	Children and Adult Services (CAS)	Children's Care	Fraud / Investigations	In Progress	
Procurement Rules	99901/2012/23	Neighbourhood Services (NS)	Direct Services	Fraud / Investigations	In Progress	
Internet Misuse	99901/2013/09	Neighbourhood Services (NS)	Projects & Business Services	Fraud / Investigations	Complete	N/A
Theft of materials	99901/2014/01	Neighbourhood Services (NS)	Technical Services - Strategic Highways	Fraud / Investigations	Complete	N/A
Theft of materials	99901/2014/04	Neighbourhood Services (NS)	Direct Services	Fraud / Investigations	In Progress	
Claims	99901/2014/05	Neighbourhood Services (NS)	Direct Services	Fraud / Investigations	Complete	N/A
Employee Conduct	99901/2014/07	Neighbourhood Services (NS)	EHCP - Consumer Protection	Fraud / Investigations	Complete	N/A
Employee Conduct	99901/2014/08	Neighbourhood Services (NS)	EHCP - Consumer Protection	Fraud / Investigations	Complete	N/A
Employee Timesheets	99901/2014/09	Neighbourhood Services (NS)	EHCP - Consumer Protection	Fraud / Investigations	Complete	N/A
Breach of Procurement Rules	99901/2014/15	Neighbourhood Services (NS)		Fraud / Investigations	Complete	N/A
Theft of materials	99901/2014/19	Neighbourhood Services (NS)	Direct Services	Fraud / Investigations	Complete	N/A
Theft of materials	99901/2014/22	Neighbourhood Services (NS)	Direct Services	Fraud / Investigations	Complete	N/A

## DURHAM COUNTY COUNCIL INTERNAL AUDIT PLAN 1 JULY 2013 TO 30 JUNE 2014

AUDIT TITLE	Audit Ref	CORPORATE DIRECTION	SERVICE	TYPE	STATUS	OPINION
Misuse of Work Mobile Phone	99901/2014/26	Neighbourhood Services (NS)	Direct Services	Fraud / Investigations	Complete	N/A
Breach of Confidentiality	99901/2014/30	Neighbourhood Services (NS)	Projects & Business Services	Fraud / Investigations	Complete	N/A
Missing Money	99901/2014/35	Neighbourhood Services (NS)	Projects & Business Services	Fraud / Investigations	Complete	N/A
Employee Timesheets	99901/2014/43	Neighbourhood Services (NS)	Direct Services	Fraud / Investigations	In Progress	
Employee Timesheets	99901/2014/44	Neighbourhood Services (NS)	Direct Services	Fraud / Investigations	In Progress	
Complaint - Provision of Leisure Services	99902/2014/01	Neighbourhood Services (NS)	Sport and Leisure	Fraud / Investigations	Complete	N/A
Misappropriation of Grant Monies	99901/2014/46	Neighbourhood Services (NS)	Projects & Business Services	Fraud / Investigations	In Progress	
Hired Vehicle - Theft	99901/2014/56	Neighbourhood Services (NS)	Technical Services	Fraud / Investigations	Complete	N/A
Hired Plant Machinery - Theft	99901/2014/57	Neighbourhood Services (NS)	Technical Services	Fraud / Investigations	In Progress	
Fleet Private Works Charging	99901/2014/61	Neighbourhood Services (NS)	Direct Services	Fraud / Investigations	Complete	N/A
Income Irregularity	99901/2013/34.bf	Regeneration & Economic Development (RED)	Trans. & Cont. Serv.	Fraud / Investigations	Complete	N/A
Access to Documents	99902/2013/14.bf	Regeneration & Economic Development (RED)	Econ Dev & Housing	Fraud / Investigations	Complete	N/A
Data Investigation	99901/2014/12	Regeneration & Economic Development (RED)	Planning & Assets	Fraud / Investigations	Complete	N/A
Taxi contracts	99901/2014/13	Regeneration & Economic Development (RED)	Trans. & Cont. Serv.	Fraud / Investigations	Complete	N/A
Caravan Park	99901/2014/16	Regeneration & Economic Development (RED)	Planning & Assets	Fraud / Investigations	Complete	N/A
Employee Timesheets	99901/2014/36	Regeneration & Economic Development (RED)	Planning & Assets	Fraud / Investigations	In Progress	
Employee Conduct	99901/2014/53	Regeneration & Economic Development (RED)	Planning & Assets	Fraud / Investigations	Complete	N/A
Internet Misuse	99901/2014/55	Regeneration & Economic Development (RED)	Econ Dev & Housing	Fraud / Investigations	In Progress	
Theft of Mobile Phone	99901/2014/06	Resources	Legal Services	Fraud / Investigations	Complete	N/A
Unauthorised Direct Debits	99901/2014/21	Resources	Corporate Finance	Fraud / Investigations	Complete	N/A
Access to Records (1)	99901/2014/24	Resources	Finance Services	Fraud / Investigations	Complete	N/A
Unauthorised Direct Debit	99901/2014/31	Resources	Corporate Finance	Fraud / Investigations	Complete	N/A
Supplier Bank Details	99901/2014/41	Resources	Finance Services	Fraud / Investigations	Complete	N/A
Access to Records (2)	99901/2014/42	Resources	Finance Services	Fraud / Investigations	Complete	N/A
Breach of Procurement Rules	99901/2014/49	Resources	Corporate Finance	Fraud / Investigations	Complete	N/A
Unauthorised Direct Debits	99901/2014/50	Resources	Finance Services	Fraud / Investigations	Complete	N/A