

ANNUAL INTERNAL AUDIT PLAN 2014 / 2015 (July 2014 to March 2015)

CORPORATE PROVISIONS	DAYS
PLANNING, REPORTING AND SERVICE DEVELOPMENT	
Audit Planning and Reporting	210
Follow Up of Audit Recommendations	100
Quality Assurance and Performance Management	100
Service Development	60
Assurance Mapping	30
Audit Committee Reporting and Support	40
COUNTER FRAUD	
Irregularity Investigation	150
Counter Fraud Awareness	25
National Fraud Initiative	30
Proactive Counter Fraud Reviews (Internal Audit Support of Corporate Fraud Team)	25
<i>Housing Tenancy</i>	} Work to be completed by the Corporate Fraud Team
<i>Right to Buy</i>	
<i>Single Person Discount</i>	
<i>Council Tax Reduction</i>	
<i>Business Rates</i>	
<i>Direct Payments</i>	
<i>Car Mileage</i>	
<i>Housing and Council Tax Benefit</i>	
CONTINGENCY	
Advice and Consultancy	150
Contingency	253
GRANT CERTIFICATION	
	50

SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	DAYS	AUDIT TYPE	LINK TO COUNCIL PRIORITIES
Assistant Chief Executive (ACE)	Policy and Communications	Business Continuity Planning	10	Key System	Altogether Better Council
Assistant Chief Executive (ACE)	Planning and Performance	Data Quality / Performance Management Framework	10	Key System	Altogether Better Council
Assistant Chief Executive (ACE)	Planning and Performance	Data Protection - Rolling Programme of reviews (One per Quarter)	15	Assurance	Altogether Better Council
Assistant Chief Executive (ACE)	Planning and Performance	Information Governance Group	2	Advice and Consultancy	Altogether Better Council
Assistant Chief Executive (ACE)	Planning and Performance	Transparency Agenda Arrangements	5	Advice and Consultancy	Altogether Better Council
Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Area Action Partnerships (AAPs) - Performance Management Framework	10	Assurance	Altogether Better Council
Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Partnerships	5	Key System	Altogether Better Council
Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Community Grants - Effectiveness	5	Advice and Consultancy	Altogether Better Council
Children and Adult Services (CAS)	Children's Services	First Contact Service	10	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Children's Services	Foster Carer Payments	10	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Children's Services	Adoption Strategy	10	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Children's Services	Children Safeguarding Governance Arrangements	10	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Children's Services	Establishment Visits and Overall Management Arrangements	10	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Children's Services	Voluntary Organisations (DCC Employee Arrangements)	5	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Children's Services	MTFP Saving - Provision of Supervised Contact	5	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Children's Services	Disability Commissioning Arrangements (Short Breaks)	5	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Children's Services	In & Out of County Placements	10	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Children's Services	Application of Think Family Grants	5	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	School Financial Performance	0	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	SEN Placement and Provision	0	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	School Organisation and Capital Programme	10	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education / Children's Services	Safeguarding of Children in Schools	5	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	Adult Learning Service	10	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	Education and Business Link	5	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	Careers Service	5	Assurance	Altogether Better for Children and Young People

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Children and Adult Services (CAS)	Education	School's Audit Programme - SLA	175	Assurance	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	Schools Financial Value Standard (SFVS)	10	Advice and Consultancy	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	Governor Training	5	Advice and Consultancy	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	School Business Manager Training	5	Advice and Consultancy	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Education	Head Teacher Group Attendance	1	Advice and Consultancy	Altogether Better for Children and Young People
Children and Adult Services (CAS)	Adult Services	Continuing Health Care and Free Nursing Care	15	Assurance	Altogether Healthier
Children and Adult Services (CAS)	Adult Services	Establishment Visits and Overall Management Arrangements (inc Pathways)	15	Assurance	Altogether Healthier
Children and Adult Services (CAS)	Adult Services	Adaptations Service	10	Assurance	Altogether Healthier
Children and Adult Services (CAS)	Commissioning	Community Chest Grant Scheme / Adult Mental Health Capital Grant Scheme	5	Assurance	Altogether Healthier
Children and Adult Services (CAS)	Commissioning	Social Care Financial Assessments & Reassessments	10	Advice and Consultancy	Altogether Better Council
Children and Adult Services (CAS)	Commissioning	Direct Payments	10	Advice and Consultancy	Altogether Better Council
Children and Adult Services (CAS)	Commissioning	Personal Budgets - Commissioned Service	10	Assurance	Altogether Better Council
Children and Adult Services (CAS)	Commissioning	Management of Client Finances	10	Assurance	Altogether Better Council
Children and Adult Services (CAS)	Commissioning	SSID Development	5	Advice and Consultancy	Altogether Better Council
Children and Adult Services (CAS)	Public Health	Drug and Alcohol Treatment Services and Clinical Public Health Services	10	Advice and Consultancy	Altogether Healthier
Children and Adult Services (CAS)	Public Health	Nicotine Replacement Vouchers - Follow Up	2	Assurance	Altogether Healthier
Children and Adult Services (CAS)	Public Health	Public Health Assurance	10	Advice and Consultancy	Altogether Healthier
Children and Adult Services (CAS)	Public Health	Commissioning Arrangements	0	Assurance	Altogether Healthier
Children and Adult Services (CAS)	Public Health	Pharmoutcomes	10	Advice and Consultancy	Altogether Healthier
Children and Adult Services (CAS)	Public Health	Health Visitor Transition	20	Advice and Consultancy	Altogether Healthier
Children and Adult Services (CAS)	Planning and Service Strategy	Caldicott Compliance	10	Assurance	Altogether Better Council
Children and Adult Services (CAS)	Planning and Service Strategy	Use of Petty Cash and Imprest Accounts	10	Assurance	Altogether Better Council
Children and Adult Services (CAS)	All CAS Services	CAS - Cash Collection	10	Key System	Altogether Better Council
Children and Adult Services (CAS)	All CAS Services	CAS - Creditors	10	Key System	Altogether Better Council
Children and Adult Services (CAS)	All CAS Services	CAS - Debtors	10	Key System	Altogether Better Council
Children and Adult Services (CAS)	All CAS Services	CAS - Payroll	10	Key System	Altogether Better Council
Neighbourhood Services (NS)	Culture and Sport Services	Gala Theatre	10	Advice and Consultancy	Altogether Better Council
Neighbourhood Services (NS)	Culture and Sport Services	Integrated Leisure Management System	2	Advice and Consultancy	Altogether Better Council
Neighbourhood Services (NS)	Culture and Sport Services	Stewardship External Funding / Arrangement Site Works	5	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Culture and Sport Services	Competition Line UK - Income Share Agreement	2	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Culture and Sport Services	Parks Management	10	Assurance	Altogether Healthier
Neighbourhood Services (NS)	Culture and Sport Services	Leisure Services Review - Future Service Delivery	5	Advice and Consultancy	Altogether Healthier
Neighbourhood Services (NS)	Culture and Sport Services	Libraries - Review of Procurement, Payments and Custody of Assets	15	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Direct Services	Building Compliance	10	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Direct Services	Pest Control	10	Assurance	Altogether Healthier
Neighbourhood Services (NS)	Direct Services	Catering Service	10	Advice and Consultancy	Altogether Better Council
Neighbourhood Services (NS)	Direct Services	Fleet	15	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Direct Services	Grounds Maintenance Charging (inc Clean and Green Follow Up)	10	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Direct Services	Allotments Management	10	Assurance	Altogether Healthier
Neighbourhood Services (NS)	Direct Services	Trade Waste - Follow Up	2	Assurance	Altogether Greener
Neighbourhood Services (NS)	Direct Services	Computerised Repairs and Maintenance System	5	Advice and Consultancy	Altogether Better Council
Neighbourhood Services (NS)	Direct Services	Quality Management System (QMS)	3	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Direct Services	Durham Crematorium - Joint Committee	19	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Direct Services	Mountsett Crematorium - Joint Committee	19	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Environmental Health and Consumer Protection	Markets Strategy	10	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Environmental Health and Consumer Protection	Fair Trading	10	Assurance	Altogether Wealthier
Neighbourhood Services (NS)	Environmental Health and Consumer Protection	Animal Health	10	Assurance	Altogether Safer
Neighbourhood Services (NS)	Environmental Health and Consumer Protection	Premises Licensing - Fee Setting	10	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Technical Services	Winter Maintenance	2	Assurance	Altogether Safer
Neighbourhood Services (NS)	Technical Services	Design Services	10	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Technical Services	Flooding Mitigation	5	Assurance	Altogether Safer
Neighbourhood Services (NS)	Technical Services	Transport Network Management	10	Assurance	Altogether Safer
Neighbourhood Services (NS)	Technical Services	Compliance with Construction, Design and Maintenance Procedures	10	Advice and Consultancy	Altogether Better Council
Neighbourhood Services (NS)	Technical Services	Capital Project Review	30	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Technical Services	Stores	15	Assurance	Altogether Better Council

SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	DAYS	AUDIT TYPE	LINK TO COUNCIL OBJECTIVES
Neighbourhood Services (NS)	Technical Services	Contract Audit	50	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Projects and Business Services	Environmental Compliance	10	Assurance	Altogether Greener
Neighbourhood Services (NS)	Projects and Business Services	Customer Access Points	10	Assurance	Altogether Better Council
Neighbourhood Services (NS)	Projects and Business Services	Garden Waste Collection Scheme	5	Advice and Consultancy	Altogether Greener
Neighbourhood Services (NS)	Projects and Business Services	Fly Tipping	5	Advice and Consultancy	Altogether Greener
Neighbourhood Services (NS)	Projects and Business Services	NS - Cash Collection	10	Key System	Altogether Better Council
Neighbourhood Services (NS)	Projects and Business Services	NS - Creditors	10	Key System	Altogether Better Council
Neighbourhood Services (NS)	Projects and Business Services	NS - Debtors	10	Key System	Altogether Better Council
Neighbourhood Services (NS)	Projects and Business Services	NS - Payroll	10	Key System	Altogether Better Council
Regeneration and Economic Development (RED)	Planning and Assets	Planning System	10	Assurance	Altogether Wealthier
Regeneration and Economic Development (RED)	Planning and Assets	Spatial Policy	10	Assurance	Altogether Wealthier
Regeneration and Economic Development (RED)	Planning and Assets	Asset Management - Follow Up	2	Assurance	Altogether Wealthier
Regeneration and Economic Development (RED)	Planning and Assets	Community Infrastructure Levy	2	Advice and Consultancy	Altogether Wealthier
Regeneration and Economic Development (RED)	Planning and Assets	Energy Management - Warm Up North	2	Advice / Grant Cert	Altogether Greener
Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	European Regional Development Fund	5	Advice and Consultancy	Altogether Better Council
Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	RED - Cash Collection	10	Advice and Consultancy	Altogether Better Council
Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	RED - Creditors	10	Advice and Consultancy	Altogether Better Council
Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	RED - Debtors	10	Advice and Consultancy	Altogether Better Council
Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	RED - Payroll	10	Advice and Consultancy	Altogether Better Council
Regeneration and Economic Development (RED)	Transport and Contract Services	Traffic Accident Data Unit (TADU) - Prevention and Investigation	10	Assurance	Altogether Safer
Regeneration and Economic Development (RED)	Transport and Contract Services	Transport - Contractual Arrangements	10	Assurance	Altogether Safer
Regeneration and Economic Development (RED)	Transport and Contract Services	Transport - Safeguarding Arrangements	5	Assurance	Altogether Safer
Regeneration and Economic Development (RED)	Economic Development and Housing	Housing Stock Transfer	10	Advice and Consultancy	Altogether Better Council
Regeneration and Economic Development (RED)	Economic Development and Housing	Housing Solutions (include Housing Advice, Homelessness & Family Intervention)	10	Assurance	Altogether Wealthier
Regeneration and Economic Development (RED)	Economic Development and Housing	Economic Development - Apprenticeship Programme	10	Assurance	Altogether Wealthier
Regeneration and Economic Development (RED)	Economic Development and Housing	Regeneration and Development - Heart of Teesdale Landscape Partnership	10	Assurance	Altogether Wealthier
Regeneration and Economic Development (RED)	Economic Development and Housing	Choice Based Letting Scheme	10	Advice and Consultancy	Altogether Wealthier
Resources	Human Resources and Organisational Development	Attendance Management Framework	10	Assurance	Altogether Better Council
Resources	Human Resources and Organisational Development	Disciplinary Procedures	10	Assurance	Altogether Better Council
Resources	Human Resources and Organisational Development	Violent Persons Register	5	Assurance	Altogether Better Council
Resources	Human Resources and Organisational Development	Health and Safety	10	Key System	Altogether Better Council
Resources	Human Resources and Organisational Development	Payroll	10	Key System	Altogether Better Council
Resources	Human Resources and Organisational Development	Comensura	10	Key System	Altogether Better Council
Resources	Legal and Democratic Services	Registrars	10	Assurance	Altogether Better Council
Resources	Legal and Democratic Services	Land Charges - Fees and Income	10	Assurance	Altogether Better Council
Resources	Legal and Democratic Services	Standards - Arrangements	10	Assurance	Altogether Better Council
Resources	Legal and Democratic Services	Elections	10	Assurance	Altogether Better Council
Resources	Legal and Democratic Services	RIPA Group	1	Advice and Consultancy	Altogether Better Council
Resources	Legal and Democratic Services	Members Allowances	10	Assurance	Altogether Better Council
Resources	Corporate Finance	VAT Arrangements	5	Assurance	Altogether Better Council
Resources	Corporate Finance	Bank Reconciliation	5	Key System	Altogether Better Council
Resources	Corporate Finance	Treasury Management	20	Key System	Altogether Better Council
Resources	Corporate Finance	New Banking Contract	10	Advice and Consultancy	Altogether Better Council
Resources	Corporate Finance	Collection Fund	15	Key System	Altogether Better Council
Resources	Corporate Finance	General Ledger	5	Key System	Altogether Better Council
Resources	Corporate Finance	Contract Register	10	Assurance	Altogether Better Council
Resources	Corporate Finance	Procurement	30	Assurance	Altogether Better Council
Resources	Corporate Finance	Oracle Development - Project Board	5	Advice and Consultancy	Altogether Better Council
Resources	Financial Services	Budgetary Control	15	Key Systems	Altogether Better Council
Resources	Financial Services	Revenues and Benefits - Reconciliation	10	Key Systems	Altogether Better Council
Resources	Financial Services	Creditors	10	Key Systems	Altogether Better Council
Resources	Financial Services	Debtors	10	Key Systems	Altogether Better Council
Resources	Financial Services	Council Tax	40	Key Systems	Altogether Better Council
Resources	Financial Services	NNDR	40	Key Systems	Altogether Better Council
Resources	Financial Services	Housing Benefit and Council Tax Reduction	50	Key Systems	Altogether Better Council
Resources	Financial Services	Cash Collection	10	Key Systems	Altogether Better Council
Resources	Financial Services	PCI Compliance - Follow Up	1	Assurance	Altogether Better Council
Resources	Financial Services	School Financial Performance	10	Assurance	Altogether Better Council
Resources	Financial Services	Welfare Rights	10	Assurance	Altogether Better Council

SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	DAYS	AUDIT TYPE	LINK TO COUNCIL OBJECTIVES
Resources	Financial Services	Welfare Assistance Scheme - Follow Up	5	Assurance	Altogether Better Council
Resources	Financial Services	Creditors Working Group	2	Advice and Consultancy	Altogether Better Council
Resources	Financial Services	Debtors Working Group	2	Advice and Consultancy	Altogether Better Council
Resources	Financial Services	Bailiff Service	10	Assurance	Altogether Better Council
Resources	Internal Audit, Risk and Fraud	Risk Management	10	Key System	Altogether Better Council
Resources	Internal Audit, Risk and Fraud	Insurance	10	Assurance	Altogether Better Council
Resources	Internal Audit, Risk and Fraud	Counter Fraud Arrangements	5	Key System	Altogether Better Council
Resources	Internal Audit, Risk and Fraud	Corporate Review of Ethics	10	Assurance	Altogether Better Council
Resources	Information and Communication Technology	Asset Management	10	Assurance	Altogether Better Council
Resources	Information and Communication Technology	Change Control	10	Assurance	Altogether Better Council
Resources	Information and Communication Technology	ISP Compliance Reviews	10	Assurance	Altogether Better Council
Resources	Information and Communication Technology	Oracle Database	10	Assurance	Altogether Better Council
Resources	Information and Communication Technology	ICT Business Continuity Plan	10	Assurance	Altogether Better Council
Resources	Information and Communication Technology	Design and Print Service	10	Assurance	Altogether Better Council
Resources	Information and Communication Technology	Mobile Phones - Allocation and Usage	20	Advice and Consultancy	Altogether Better Council